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FOR THE IMPROVEMENT OF THE NOAA
CORPS FITNESS REPORT SYSTEM

by

10 Albert E. Theberge, Jr

11 June 1979

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Thesis Advisor:

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Specific recommendations are offered to bring about the necessary changes. These recommendations include adoption of Management-by-Objectives, implementation of a form of self-assessment, and the addition of greater internal controls such as reviewing officers, total score guidelines, and written justification of all extreme marks.

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A Study Directed at Recommendations
for the Improvement of the NOAA
Corps Fitness Report System

by

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Submitted in partial fulfillment of the
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TABLE OF CONTENTS

I.	INTRODUCTION.....	9
II.	PERFORMANCE APPRAISAL - STATE OF THE ART.....	11
	A. BACKGROUND.....	11
	B. PROBLEMS WITH APPRAISAL.....	12
	C. DESIGN OF APPRAISAL SYSTEMS.....	15
	D. EVALUATOR-EVALUATEE RELATIONSHIPS.....	21
	E. EVALUATIVE VERSUS DEVELOPMENTAL APPROACH.....	23
	F. DEVELOPMENT AND MAINTENANCE OF AN APPRAISAL PROGRAM.....	26
	G. EQUAL EMPLOYMENT OPPORTUNITY AND THE PERFORMANCE APPRAISAL.....	30
	H. SUMMARY.....	31
III.	INDUSTRIAL PERFORMANCE APPRAISAL.....	32
	A. CANVASSING OF INDUSTRIAL CONCERNS.....	32
	B. APPRAISAL SYSTEM DESIGN PARAMETERS.....	36
	C. INDUSTRIAL APPRAISAL SYSTEM TYPE AS RELATED TO NOAA CORPS NEEDS.....	41
IV.	UNITED STATES UNIFORMED SERVICES OFFICER APPRAISAL.....	44
	A. BACKGROUND.....	44
	B. THE UNITED STATES AIR FORCE OFFICER EFFECTIVENESS REPORT.....	45
	C. THE UNITED STATES ARMY OFFICER EFFICIENCY REPORT.....	51
	D. THE UNITED STATES COAST GUARD REPORT ON THE FITNESS OF OFFICERS.....	52

E.	THE UNITED STATES MARINE CORPS FITNESS REPORT.....	57
F.	THE UNITED STATES NAVY REPORT ON THE FITNESS OF OFFICERS.....	62
G.	UNITED STATES PUBLIC HEALTH SERVICE COMMISSIONED OFFICER'S EFFICIENCY AND PROGRESS REPORT.....	71
V.	THE NOAA CORPS FITNESS REPORT SYSTEM.....	78
A.	BACKGROUND.....	78
B.	PURPOSE OF THE NOAA CORPS FITNESS REPORT.....	81
C.	FORMAT OF FITNESS REPORT FOR COMMISSIONED OFFICERS.....	82
D.	OVERVIEW OF THE NOAA CORPS FITNESS REPORT SYSTEM.....	84
VI.	THE NOAA CORPS FITNESS REPORT ATTITUDE QUESTIONNAIRE.....	86
A.	GENERAL.....	86
B.	PART I - RESULTS.....	87
C.	PART II - RESULTS.....	88
D.	PART III - RESULTS.....	99
E.	DISCUSSION OF RESULTS.....	102
VII.	RECOMMENDATIONS FOR IMPROVEMENT OF THE NOAA CORPS FITNESS REPORT SYSTEM.....	109
A.	INTRODUCTION.....	109
B.	MODIFICATION OF NOAA CORPS APPRAISAL PHILOSOPHY.....	110
C.	MODIFICATION OF FITNESS REPORT FOR COMMISSIONED OFFICERS (NOAA FORM 56-6) AND SERVICE REPORT (FORM 56-25).....	113

D. MODIFICATION OF NOAA DIRECTIVES AND INSTRUCTIONS.....	127
E. SUMMARY.....	138
APPENDIX A: PERTINENT REGULATIONS AND INSTRUCTIONS FROM OTHER SERVICES.....	140
APPENDIX B: NOAA CORPS FITNESS REPORT QUESTIONNAIRE AND COMPILATION OF DATA.....	158
APPENDIX C: SELECTED REFERENCES FROM THE NOAA CORPS BULLETIN.....	187
APPENDIX D: AFFECTED NOAA CORPS INSTRUCTIONS AND REGULATIONS.....	203
LIST OF REFERENCES.....	228
INITIAL DISTRIBUTION LIST.....	231

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E. SUMMARY.....	138
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APPENDIX D: AFFECTED NOAA CORPS INSTRUCTIONS AND REGULATIONS.....	203
LIST OF REFERENCES.....	228
INITIAL DISTRIBUTION LIST.....	231

LIST OF FIGURES

Figure 1:	Evaluative Appraisal Role vs. Developmental Appraisal Role.....	24
Figure 2:	Characteristics of Industrial Performance Appraisal	35
Figure 3:	United States Air Force Officer Effectiveness Report.....	46
Figure 4:	United States Army Officer Evaluation Report	49
Figure 5:	Proposed United States Army Officer Evaluation Report Support Form	53
Figure 6:	United States Coast Guard Report on the Fitness of Lieutenants (Junior Grade) and Chief Warrant Officers (W-2).....	55
Figure 7:	United States Marine Corps Fitness Report...	59
Figure 8:	United States Navy Report on the Fitness of Officers	64
Figure 9:	United States Navy Appraisal Worksheet.....	67
Figure 10:	United States Public Health Service Commissioned Officers' Efficiency and Progress Report.....	72
Figure 11:	NOAA Corps Fitness Report for Commissioned Officers.....	79
Figure 12:	NOAA Corps Service Report.....	123

I. INTRODUCTION

The NOAA Corps, formerly called the ESSA Corps, is a descendent of the United States Coast and Geodetic Survey which was formed by Act of Congress in 1917. For many years, the major activities of the Coast and Geodetic Survey were hydrographic and geodetic surveying for which engineers qualified for marine command were required. Since that time, the NOAA Corps mission has expanded to encompass earth, atmospheric, ocean, and biological sciences. In the August 1, 1971, NOAA Corps Bulletin, the following NOAA Corps mission statement was published:

"The mission of the NOAA Corps is to provide officers technically competent to assume positions of leadership in the projects and programs of NOAA. Members of a Uniformed Service, they serve as officers of the Department of Commerce or as military officers, if transferred to the Armed Services during times of emergency. Discipline and flexibility are inherent in the Corps personnel system. NOAA officers are trained for positions of leadership and command in the operation of ships and aircraft; in the conduct of field projects on land, at and under the sea, and in the air; in the management of NOAA observational and support facilities; as members or leaders of research efforts; and in the management of various organizational elements throughout NOAA."

An intrinsic part of assuring that capable men are fulfilling that mission is the NOAA Corps Fitness Report System. The heart of this system is NOAA Form 56-6, Fitness Report for Commissioned Officers. To quote from the instructions for preparing Form 56-6:

"This report is used with previous fitness reports for the purposes of assignment-making, career development and promotion."

The objectives of this thesis are the determination of whether or not the NOAA Corps Fitness Report System is in fact fulfilling the above functions and, if not doing so, the formulation of methods to improve the System to better meet NOAA Corps personnel needs. To accomplish these objectives, research has been directed into the following areas:

- 1) A study of current literature to determine new developments in and "state of the art" of performance appraisal.
- 2) A study of pertinent NOAA Corps regulations and official published material regarding the NOAA Corps Fitness Report System.
- 3) A study of the appraisal systems of the six larger uniformed services of the United States.
- 4) A study of industrial appraisal systems with particular emphasis on firms having occupational similarities to NOAA Corps assignments.
- 5) An attitude and informational questionnaire designed to determine NOAA Corps officers' perceptions and observations of the NOAA Corps fitness report system.

In conclusion, this thesis will make specific recommendations concerning the NOAA Corps officer appraisal system. These recommendations will be based on the results of the above studies and the questionnaire results.

II. PERFORMANCE APPRAISAL - STATE OF THE ART

A. BACKGROUND

The origins of performance appraisal are lost in antiquity. It is probable that the beginnings of performance appraisal coincide with the beginnings of the world's oldest profession. Within the military realm, examples of informal military appraisal are found in the Bible, Caesar's account of the Gallic Wars, Napoleon's campaigns, and in the majority of written histories down through the ages. The reports of Brigadier General Lewis Cass in 1813 are the oldest written fitness reports in United States Department of Defense files. Since that time, all uniformed services and the majority of governmental agencies and industrial concerns have adopted some form of a personnel evaluation system. For the majority of organizations with a personnel evaluation system, the present format of the appraisal system has been arrived at by an iterative process as management theories have come and gone and as further insight into the workings of human behavior have been gained.

The majority of performance appraisal systems in use today have stated or implied objectives of justifying wage and salary actions, setting goals, determining training needs, providing a historical background to aid in the justification of personnel actions, providing either positive or negative feedback concerning performance, and validating selection and promotion procedures.

Performance appraisal systems can be categorized in many ways. For purposes of this thesis, this writer categorized appraisal systems by design of system, evaluator - evaluatee relationship, and developmental versus evaluative systems.

B. PROBLEMS WITH APPRAISAL

Before proceeding with a description of the above systems it is noted that all systems have one or more of the following common appraisal problems as compiled by the writer:

- (1) Subjectivity [Patton, 1960] - No matter the system or the rater(s), personal bias will creep into ratings. Personal values and bias have in more than one organization replaced organizational standards.
- (2) Halo effect [Ewart, Seashore and Tiffin, 1941] - This error occurs when the rater lets one characteristic influence the overall assessment of the person being rated. From the standpoint of the organization, this can be particularly harmful if politically skilled sycophants score high on items such as human relations and are then scored equally high on items such as productivity when in reality their productivity may be quite low.
- (3) Leniency [Taylor and Hastman, 1956] - These errors are manifested by grade inflation. The converse of this error is the tendency to rate people lower than

their true worth, although this is much less common.

- (4) Central tendency error [Patterson, 1950] - This occurs when a rater tends to rate everyone average and in fact fails to differentiate between subordinates.
- (5) Establishment of Reliability [Taylor and Hastman, 1956] - The reliability of a performance appraisal system is the consistency with which a subordinate is rated in successive ratings, assuming no change in the subordinate's performance nor in the appraisal form. Reliability is also measured by the consistency with which two or more supervisors rate performance when they have comparable information concerning a subordinate's performance.
- (6) Establishment of Relevance [Haynes, 1978] - Are the traits being reported on truly relevant to the organization and the job of the rated individual?
- (7) Establishment of Validity [Bayroff, Haggerty, and Rundquist, 1954] - The validity of a performance evaluation system is indicated by the extent to which ratings reflect real differences in the degree to which the ratees are contributing to the overall goals of the organization.
- (8) Managerial Resistance - This problem first suggested by Douglas McGregor [Ref. 20], is generated by the supervisor's innate resistance to "playing God." To quote McGregor "The respect we hold for the inherent

value of the individual leaves us distressed when we must take responsibility for judging the personal worth of a fellow man. Yet the conventional approach to performance appraisal forces us not only to make such judgments and to see them acted upon but also to communicate them to those we have judged. Small wonder we resist!"

- (9) Managerial Time Constraints [Whisler and Harper, 1964] - For managers having to appraise large number of subordinates, the time required to both observe and then complete the paperwork involved with the appraisal process may be prohibitive.
- (10) Error of recency - According to Ford and Jennings [Ref. 11], the tendency to evaluate an employee on what he has done recently as opposed to his consistent performance throughout the rating period.

The above list is not meant to be a comprehensive listing of all problems associated with performance appraisal. Numerous other problems, such as intra-personal conflict between rater and ratee, timeliness of appraisal information, and even intentional corruption of the system by morally bankrupt managers, can and will crop up from time to time in specific instances.

C. DESIGN OF APPRAISAL SYSTEMS

According to Oberg [Ref. 22], there are nine system designs in general use today. These are:

1. Essay appraisal
2. Graphic scale rating
3. Field review
4. Forced-choice rating
5. Critical incident appraisal
6. Management-by-objectives approach
7. Work-standards approach
8. Ranking methods including alternation and paired comparison
9. Assessment centers

An additional system coming into fairly widespread use is the behaviorally anchored rating scale. The general characteristics of these systems follow:

- (1) The essay appraisal [Richardson, 1950] essentially requires the rater to write a paragraph or more describing the ratee's strengths, weaknesses, accomplishments, estimated potential, etc. The biggest problems with essay ratings are the variability of length and content and the general difficulty associated with comparing one man's ratings with another.
- (2) The graphic rating scale [Paterson 1922-1923, Ryan, 1945] does not allow an in-depth study of a man's performance characteristics, but it is considered one of the more reliable and consistent appraisal methods. According to Oberg, "For many purposes there is no need to use anything more complicated than a graphic scale supplemented by a few essay questions."

- (3) The field review method [Wadsworth, 1948] is utilized when it is suspected that there may be rater bias, widespread errors of leniency causing system inflation, or when comparability of ratings is essential. Essentially, this method involves a member of the central administrative staff meeting with small groups of raters and discussing the ratings of their individual employees with them. The objectives of this meeting are to (a) identify areas of inter-rater disagreement, (b) help the group arrive at a consensus concerning the ratings of their employees, and (c) assure that each rater is perceiving the organization's standards similarly. The major problem with this system is that the process is quite time consuming.
- (4) Forced-choice rating [Sisson, 1948] has many variations, but the most common asks the appraiser to choose from among tetrads of statements those which least fit him. Each statement has a weight or score attached to it as established by the designer of the form and the highest scoring ratees are considered the best performers. In theory this system looks great as it is assumed that both the rater and ratee have sub-moronic intelligence and are being "tricked" into giving a "true" evaluation. In practice, a sophisticated rater can easily give any employee as high or low of rating as he desires. Another problem is

that forced choice ratings are relatively useless in performance appraisal reviews.

- (5) Critical incident appraisal [Flanagan and Burns, 1957] involves the supervisor keeping a record of a subordinate's performance throughout a rating period. Both good and bad performance is recorded and then related to the subordinate during an appraisal interview. The primary advantage of this system is that a man's performance and not his personality is what is being evaluated. Problems with this system are that the supervisor sets the standards and then makes the subjective judgment of what is a "critical incident" [Scott, 1973].
- (6) Management-by-objectives (MBO) [Patton 1960, The Conference Board, 1968] involves employees helping to determine their own future performance goals and then being rated on how well they attain these goals. Two major problems have evolved from this. It has become apparent that many employees want nothing to do with setting their own goals ("If I wanted to be a manager, I would have become a manager") and in many instances lauded examples of participatory management have drifted into a system whereby management attempts to give an impression of participatory goal setting but, in fact, ends up setting its own goals

and objectives. In addition, some practitioners claim that paperwork, excessive time to implement, and inability to compare one individual with another are major difficulties of an MBO system.

- (7) The Work Standards approach [Öberg, 1972] is essentially MBO with one major philosophic difference. The company sets the objectives and then evaluates employees on how well they attain these company set goals. However, setting goals for the employees should make the evaluation procedure less threatening as the employee knows the exact basis for his evaluation. The most serious problem with the Work Standards approach appears to be an inability to compare individuals, as employees in different portions of an organization are rated on a different basis. Also in many jobs there is difficulty in setting accurate and fair standards.
- (8) Ranking methods essentially list employees in the supervisor's perceived order of worth to the organization. Alternation ranking [Lopez, 1968], forced distribution [Tiffin, 1951], and paired-comparison [Lawshe, Kephart, and McCormick, 1949] ranking are the most widespread ranking systems. This system is widely used in choosing individuals for promotion to top management as candidates for such positions usually have equally glowing appraisal reports. The major drawbacks of

this system are its almost completely subjective nature and the fact that it is not "relative." All those ranked may be very poor. Ultimately the individual or group making such rankings must rely on 'gut feeling' to establish a ranking order.

- (9) Assessment centers [Allen, 1974], as pioneered by Dr. Douglas Bray of AT and T, are groups of specially trained managers from various departments in an organization brought together to pool judgment for ranking a group of subordinates by order-of-merit. These subordinates pass through a series of management games, leaderless discussion groups, etc., and are evaluated on their performance by the assessment center. This system is a sophisticated ranking method that makes it possible for worthy individuals in low status departments or low profile jobs to attain visibility in the competitive situation of an assessment center. There is little that can be said against such a method as it has the effect of equalizing opportunity, improving morale, and enlarging the pool of possible promotion candidates. However, it can be very expensive and ultimately relies on the collective subjective judgment of the individuals making up the assessment center.
- (10) Behaviorally anchored rating-scales, lauded by Millard, Luthans, and Otteman [Ref. 21] as "A New Breakthrough

for Performance Appraisal" are in fact a glorified version of the graphic rating scale. For example, as opposed to headings such as outstanding ... through unsatisfactory on a performance trait such as gracefulness, the rater could be expected to choose from a list of statements such as

- a) Has the moves of a prima ballerina
- b) Can pirouette with the best of them
- c) Can jog reasonably well
- d) Trips often
- e) Misses the ground when intentionally throwing self at same

The authors claim this system will be a breakthrough for "more reliable, effective and valid performance appraisals." Because of the increased specificity of the rating scale, it is possible that this system will function better than the traditional graphic rating scale. However, a problem exists in identifying universally applicable behavioral descriptors in an organization with diversified missions.

The majority of appraisal forms in use today incorporate elements from one or more of the above appraisal designs. The over-riding philosophy in this hybrid approach is that two or more appraisal systems used together will complement each other and give a more complete view of the rated individual.

D. EVALUATOR-EVALUATEE RELATIONSHIPS

Within the context of the above appraisal designs, the following evaluator-evaluatee relationships can exist:

1. Superior-subordinate appraisal system - This is the classical evaluation system in which the superior passes judgment on the past performance of a subordinate. This system is also amenable to a group of superiors combining their views to pass judgment on a subordinate.
2. Participatory approach - This system is essentially the management-by-objectives approach in which a subordinate and superior jointly establish a set of objectives for the subordinate to accomplish, and then, at the end of a rating period, participate in evaluating how well the subordinate met his objectives and agree on a new set of objectives for the coming rating period.
3. Self-appraisal - Self-appraisal, as described by Teel [Ref. 32], is a method whereby the subordinate rates himself and then compares his results with his supervisor's rating of him. Ground rules are laid out ahead of time for negotiating differences between the subordinate's view of himself and the superior's view of the subordinate. Teel reports that in his experience this method enhanced the communication between superior

and subordinate during the appraisal interview.

Tenneco Oil of the firms canvassed in Chapter 3 practices this form of self-appraisal. A variation of self-appraisal, whereby the subordinate provides his/her superior with a listing of his objectives, duties, and accomplishments during the appraisal period, is practiced by two firms canvassed by the writer and is under consideration for use by the United States Army.

4. Peer ratings [Hollander, 1954] - Ratings by those of equal rank or position in a hierarchical social system are termed peer ratings. The over-riding consideration of peer evaluation is "that the individual working closest to the person being judged would have the best information on performance" [Whisler and Harper, 1964]. A major problem in peer rating is that the criteria for evaluation may be useful to the rater but not necessarily to the organization [French, 1978].
5. Subordinate-superior ratings [Maloney and Hinrichs, 1959] - This method entails a subordinate rating a superior. This is most effective when the superior is rated on such items as training subordinates, providing performance feedback, and providing a supportive atmosphere for subordinates to function within. These systems accept the fact that a subordinate does not have a sufficiently wide view of the "big picture" to evaluate a superior on all facets of his performance. The

objective in such a system is to provide a superior with feedback relating to his handling of subordinates. It is hoped that this will improve the superior's effectiveness as a leader and manager. As with peer group evaluation, the rater's performance appraisal may be based on criteria useful to the rater but not necessarily to the enterprise.

E. EVALUATIVE VERSUS DEVELOPMENTAL APPROACH

Cummings and Schwab [Ref. 8] differentiate performance appraisal philosophies on the basis of whether the use of the appraisal is to evaluate past actions or develop future performance. Evaluative use of performance appraisal focuses on past actions which could affect administrative decisions such as promotions, demotions, transfers, and terminations. On the other hand, developmental appraisal focuses on improving performance and the potential for performance by identifying areas for growth and personal development. The following table [Cummings and Schwab, 1978] outlines the major differences between the modes of appraisal.

	<u>Evaluative Role of Appraisal</u>	<u>Developmental Role of Appraisal</u>
Focus	On past performance	On improvement in future performance
Objective	Improve performance by more effective personnel and reward administration	Improve performance through self-learning and growth
Method	Variety of rating and ranking procedures	Series of developmental steps as reflected, for example, in management by objectives.
Role of Superior	To judge, to evaluate	To counsel, help, or guide
Role of Subordinate	Passive or reactive, frequently to defend himself/herself	Active involvement in learning

Figure 1

Within the context of the above figure, it is becoming increasingly apparent that depending on the individual being rated, either the developmental or evaluative appraisal mode may be of greatest benefit to both the organization and the individual being rated. For instance, a hard-charging self-starter in a job with growth opportunities may be best appraised in the developmental mode. Individuals in jobs with little growth opportunity and little desire to learn more may be best appraised in the evaluative mode. By the same token, poor or marginal performers must be appraised in the evaluative mode in order to keep tabs on their current performance.

It has become common practice in many companies to combine the evaluative and developmental aspects of performance appraisal into one all encompassing system. Some authors [Cummings and Schwab, 1978, Beer and Ruh, 1976] have suggested that the techniques for performance evaluation are completely different from and may be inconsistent with the techniques for development of performance.

Cummings and Schwab [Ref. 8] address this by suggesting a three pronged appraisal program, encompassing a developmental action program (DAP), a maintenance action program (MAP), and a remedial action program (RAP). DAP focuses on the proven high performer with upward potential, MAP on the acceptable performer with limited upward potential, and RAP on the substandard performer who requires close observation or who should be prepared for termination. The advantage to implementing a DAP, MAP, and RAP program lies in the system's recognition that differing individual's with differing personalities and worth to the organization may best be appraised in different ways. The program's major weakness lies in identifying DAP, MAP, and RAP candidates. It would appear that the pigeonholing of subordinates into a DAP, MAP or RAP mode would involve the same subjective judgments that are involved in all other appraisal systems. As such the writer suggests the use of a dual appraisal system, which recognizes the differing nature of the evaluative and developmental aspects of performance appraisal.

F. DEVELOPMENT AND MAINTENANCE OF AN APPRAISAL PROGRAM

In developing an appraisal program, many decisions have to be made. Among these are:

- 1) What are the program objectives?
- 2) Is the program direction evaluative, developmental, or a combination of the two?
- 3) What are the behavioral dimensions to be appraised?
- 4) Who will be the appraisers and how often will appraisals be conducted?
- 5) What will be the design of the appraisal form?

After determining answers to one through four of the above, the design of appraisal forms can begin. Haynes [Refs. 13 and 14] suggests keeping the following thoughts in mind while designing appraisal forms:

1. Express only one idea with each factor to be appraised. If two thoughts are expressed, such as punctuality and attendance, a person who is rated high on one and low on the other is difficult to appraise.
2. Use words the appraiser will understand.
3. Have appraisers evaluate what they observe, not what is inferred.
4. Avoid double negatives. Make positive, declarative statements.
5. Express thought clearly and simply. Qualifying clauses, ponderous words, and complex expressions serve only to confuse the appraiser.

6. Keep statements internally consistent.
7. Avoid universal statements. Words such as "all," "always," and "never" lead to ambiguity.
8. Concentrate on the present. Any attempt to go into the past for a rating will lead to distortion.

Dramatic events in the past stand out in an appraiser's memory, while good daily work tends to be expected and therefore overlooked. (This appears to contradict the concept of the "error of recency" [Ford and Jennings, 1977] as reported in Section B of this chapter.)

9. Avoid vague concepts. This is particularly apparent in attempts to appraise personality factors.

Heisler [Ref. 15], in a study of viewpoints of one hundred chief executive officers of Fortune 500 companies versus the viewpoint of 200 MBA candidates at Wake Forest University, found the following ranking of traits for determining promotability. The MBA candidates' rankings are in parentheses.

1. (3) Comes up with new ways to handle problems.
2. (11) Is cooperative, has the spirit of teamwork.
3. (6) Has a good record of accomplishments.
4. (8) Is able to operate with a minimum of direction.
5. (9) Is able to argue logically.
6. (7) Is able to meet deadlines.
7. (1) Is able to communicate clearly and effectively.
8. (5) Is tactful in making suggestions to superiors.
9. (27) Is able to take suggestions from subordinates.
10. (10) Has the respect of colleagues.

The MBA candidates rated 2 and 4 respectively

- 2. Is able to sell ideas.
- 4. Has a pleasant personality.

The corresponding Chief Executive Officer (CEO) values are 12 and 18. It is noted that the above rankings reflect the CEO's view of present corporate policy. As a cross reference, Heisler also asked for CEO's and MBA candidates to rank traits as they should be considered in an ideal setting. The major casualties in this cross-referencing are

- 8. (5) Is tactful in making suggestions to superiors
- 18. (4) Has a pleasant personality

which drop to 21 (17) and 20 (18) respectively.

It is the writer's belief that any designer of an appraisal form which incorporates a graphic rating scale into its format should seriously consider utilizing at least the top ten traits or some form of them as reported by Heisler for CEO's.

Cook [Ref. 4], in an attitude survey of managers, found that the usefulness, and thus the value, of performance appraisals can be improved if they

1. Are provided as frequently as costs and other circumstances permit.
2. Are provided as soon after the end of a reporting period as possible.
3. Give appropriate credit for favorable performance.
4. Include, if possible, the reasons for reported below average performance.

5. Provide as much detailed information as specifically needed by each recipient.
6. Include only controllable items.
7. Are accurate.
8. Compare actual results with an accurate, fair, and appropriate basis of measurement (where possible the quality of the job should also be measured).
9. Emphasize the exceptional items (good and bad) which require the attention of the manager.
10. Avoid using performance reports as a pressure device to prod the managers continually to increase output or decrease cost.

Ford and Jennings [Ref. 11] make the case that the prime method of increasing the effectiveness of performance appraisals is to reduce the time interval between appraisals. "Available research evidence, though limited, indicates that increasing appraisal frequency can be an effective way of overcoming reluctance to administer appraisals, increasing the accuracy of the performance rating, enhancing employee satisfaction and acceptance of the appraisal, and mitigating judicial charges of discrimination." As opposed to flooding headquarters with bi-monthly or quarterly reports, Ford and Jennings suggest that the supervisor maintain an appraisal file for his subordinates and compile a year end composite report for inclusion in headquarters personnel files. It is

felt that such a system could help eliminate such factors as the recency error, halo effect, and unpleasant surprises such as the subordinate discovering that he has been doing something wrong all year and finding out about it only during his yearly appraisal.

G. EQUAL EMPLOYMENT OPPORTUNITY AND THE PERFORMANCE APPRAISAL

Increasingly, the courts are looking at an organization's performance appraisal system in situations involving alleged discrimination because of sexual, racial, or religious bias. According to Schneier [Ref. 28], the courts have found appraisal systems to be discriminatory when:

- They were based on subjective and ill-defined criteria.
- They may have been affected by sexual and/or racial bias.
- They were not collected and scored under standardized conditions, thus affecting their reliability and validity.
- The content of the rating instrument was not based on a careful job analysis.
- They were not shown to be job related through proper validation studies.

French [Ref. 12] feels that "job-relatedness, detailed instructions for raters, familiarity with the employees' day-to-day performance, and standardized methods of administration" are required to assure an appraisal system is not found to be discriminatory.

H. SUMMARY

Performance appraisal has the attribute of either becoming a major problem to an organization or a tool with which to improve both employee morale and productivity. Although some systems claim to be able to reduce subjectivity in ratings, it is doubtful that any system dealing with human beings can (or even should) be made completely free of subjectivity. In view of recent court decisions, it is a necessity for all organizations to inspect their appraisal system for potentially discriminatory elements and redesign their system as required. It must be remembered that any appraisal system is only as good as the people administering it. In addition, it must be recognized that the performance appraisal is only one facet, albeit very important facet, of an effective personnel administration system. The performance appraisal is not and cannot be a panacea for poor recruiting practices, poor job placement, and inadequate training programs. Poor performance, where it exists, is not the fault of an appraisal system. The converse is not true. A good appraisal system can enhance and improve employee performance.

III. INDUSTRIAL PERFORMANCE APPRAISAL

A. CANVASSING OF INDUSTRIAL CONCERNS

Noting that there are numerous similarities between the performance of employees of specific types of industrial concerns and the officers of the NOAA Corps, fifty-nine industrial concerns were contacted by the writer for information concerning their performance appraisal systems and career development programs.

Prior to contacting these firms, the writer categorized NOAA Corps assignment possibilities into seven broad and sometimes overlapping areas:

1. Nautical oriented
2. Flight oriented
3. Environmental data collection (ocean, earth, atmosphere, biosphere)
4. Research and development
5. Technical operational
6. Technical staff and management
7. Administrative staff and management

Coupled with these potential assignment areas are the possibilities of prolonged duty in remote areas and a highly mobile life style. These considerations led to canvassing of firms in the following areas:

1. Natural Resources (mineral and forest development)
2. Worldwide Construction
3. Research and Engineering Development

4. Maritime Transportation
5. Ocean Industry
6. Fisheries
7. Air Transportation

Responding companies were:

American President Lines
Bechtel
Beckman Instruments, Inc.
The Cleveland-Cliffs Iron Company
The Cleveland-Cliffs Iron Company (marine operations)
Digital Equipment Corporation
Fluor Corporation
Fairchild Camera and Instrument Corporation
Georgia-Pacific Corporation
Asarco, Inc.
Gulf Oil Company
Hewlett-Packard
Kennecott Exploration, Inc.
Kaiser Aluminum and Chemical Corporation
Morrison-Knudsen Company, Inc.
Moore-McCormack Lines, Inc.
Matson Navigation Company
Ocean Technology, Inc.
Ocean Data Systems, Inc.
Oceaneering International, Inc.
Prudential Lines, Inc.
Santa Fe International Corporation
Standard Oil Company (Indiana)
Standard Oil of Ohio
Sun Harbor Industries
Texaco, Inc.
Tenneco Oil
Texas Instruments Incorporated
United Airlines
U.S. Borax
United States Lines, Inc.
Weyerhaeuser Company

The appraisal and development forms and accompanying (if received) regulations and official guidance for completion of these forms and methods of appraisal were analyzed by the writer. In the case of a company having multiple appraisal

forms, the form most applicable to the NOAA Corps mission was utilized for analysis. However, in the case of the Cleveland-Cliffs Iron Co., because of the wide divergence in form design between supervisory personnel and marine transport deck officers, both forms were utilized in the analysis of appraisal systems. Conversely, responses were received from Gulf Oil Exploration and Production Company and from Gulf Research and Development Company, both divisions of Gulf Oil. As both divisions utilized the same forms, Gulf Oil was only counted once in the analysis. The response from Sun Harbor Industries, a subsidiary of Westgate-California, a fishing company, was a management appraisal form as opposed to a fisheries captain or deck officer appraisal form. Responses from Asarco, Inc. (natural resources) and American President Lines (maritime transport) indicating no formal appraisal system were received via telephone conversation. A telephone response from Ashland Exploration (natural resource) indicated a recent change in appraisal design to a system encompassing a greater degree of self-assessment. As no follow-up form was received by the writer, Ashland was not included in the analysis. See Figure 2 for a compilation of characteristics found on industrial performance appraisals, and an indication of the relative frequency with which various characteristics are utilized. Figure 2 is designed such that industry types are across the top and

	<u>Natural Resource</u>	<u>Construction</u>	<u>Research and Engineering Development</u>	<u>Marine and Air Transportation</u>	<u>Ocean Industry and Fisheries</u>	<u>TOTALS</u>
Narrative Comments.....9	4	5	6	3	27	
Evaluative Mode.....9	4	5	6	3	27	
Overall Rating.....8	2	3	3	3	19	
Job Accomplishment.....7	4	5	1	2	19	
Job Duties.....7	4	5	1	2	19	
Reviewing Superior.....8	3	5	1	2	19	
Developmental Mode.....8	3	5	0	2	18	
Included with evaluative form.....7	1	5	0	1	14	
Separate form for career development.....1	2	0	0	1	4	
Rating Scale.....6	2	2	6	1	17	
Graphic (General).....3	1	1	2	0	7	
Behaviorally Anchored.....2	0	1	3	0	6	
Graphic Specific1	1	0	1	1	4	
Strong Points.....9	2	1	1	3	16	
MBO.....6	3	5	0	2	16	
Present Potential for Promo- tion.....7	1	1	5	1	15	
Weak Points.....9	3	0	1	1	14	
Space for employee's Comments.....6	1	1	0	0	8	
Supervisor's Summary of Employees Comments.....4	1	1	1	0	7	
Long-term Potential.....4	0	0	2	0	6	
No Formal System.....3	0	0	1	1	5	
Narrative required with graphic scale.....2	0	1	1	0	4	
Self assessment.....1	1	1	0	0	3	
Forced Distribution.....1	1	0	0	0	2	
Weighting of performance factors.....0	0	1	0	0	1	
Desirability.....0	0	0	1	0	1	
Peer Rating.....0	0	1	0	0	1	

Figure 2

appraisal characteristics run down the left margin. Characteristics are ordered by decreasing frequency of use.

B. APPRAISAL SYSTEM DESIGN PARAMETERS

As can be seen from Figure 2, twenty-seven of the responding entities have some measure of formal appraisal of employees, while only five responses indicated no formal appraisal system. Prior to discussing the twenty-seven responses, two firms, Georgia-Pacific and Kennecott Exploration, Inc., Ocean Mining Laboratory, gave good reasons for not maintaining formal appraisal systems. In the case of Kennecott Ocean Mining Laboratory, Mr. John T. Fuller, Manager of Administration, wrote, "Since this is a small organization with few transfers of personnel between ourselves and other Kennecott offices, the need for a formal evaluation system with historical depth is minimal... Since there are no "promotion boards" at a geographically remote area, there is little need for extensive documentation on job performance." Georgia-Pacific Corporation returned an answer which could be partially applicable to the NOAA Corps (however, the writer is not suggesting that the NOAA Corps dispense with its Fitness Report System). In explaining why Georgia-Pacific had no formal evaluation system, S.G.F. DeChant, Personnel Director, wrote, "We are too highly decentralized and diversified to make such a program economically feasible."

Of the twenty-seven companies reporting formal appraisal systems, all require narrative comments and all evaluate past behavior. Overall ratings, a description of job accomplishments and job duties, and a requirement for a reviewing supervisor to inspect the completed appraisal and comment as necessary are found in nineteen of the twenty-seven appraisal systems received.

Eighteen of the twenty-seven appraisal and/or development systems received have mention of career development incorporated into their system. Of these, fourteen have some measure of career development included on the appraisal form while four responding companies, in apparent adherence to the belief that evaluation and career development are philosophically divergent, maintain separate forms for both career development and evaluation.

Seventeen responding companies use some form of rating scale to evaluate employee performance. Of these, seven use graphic scales with general headings similar to the NOAA Corps form; four use graphic scales with specific headings (one thought expressed per rating item; such as, "Is respected by superiors" vice all encompassing "Human Relations"), and six use a "Behaviorally Anchored Rating Scale" (BARS). As a BARS is a relatively new concept, it is possible that a greater number of companies will adopt a BARS system in the future.

Sixteen of the responding companies require a specific statement of an employee's strong points while only fourteen companies require a statement of weak points. The difference here is possibly explainable by a feeling on the part of some personnel departments that mention of weak points is dysfunctional from both the organization's standpoint and the rated individual's standpoint. It is felt that concentrating on overcoming weak points merely wastes time and energy while concentrating on strong points can strengthen both the individual and the organization.

Management-by-objectives (MBO) logged sixteen responses. All companies in the "Research and Engineering Development" category utilize MBO. As MBO, of all evaluative and developmental systems, most encourages intra-organizational communication, it is easy to see why companies working within rapidly changing environments would utilize this system. However, none of the responding maritime or air transportation firms utilize MBO. Within these industries, the work of deck officers and flight personnel is quite structured and standardized as the primary job objective is to get a moving vehicle from point A to point B in one piece. In addition, it is required that officers in the maritime and air transport industries pass stringent licensing examinations and possess the requisite skills necessary to function in their occupations prior to employment. As such, there is little point in an MBO or career development program in these industries.

A statement as to the rater's view of the present promotability of the rated individual was found in fifteen of the appraisal systems studied by the writer.

Of those appraisal system traits that are found in less than half the formal systems studied by the writer, eight firms provide space for the subordinate to comment upon his evaluation, while seven systems require or recommend that the supervisor summarize the results of the appraisal discussion and the subordinate's reaction to his/her evaluation.

Six firms require comment concerning an employee's long-term career potential. The writer disagrees with this aspect of appraisal systems on two counts:

- 1) unrealistic hopes followed by disillusionment could be fostered by such a system;
- 2) early pigeon-holing of an employee into a low long-term potential category could result in lack of motivation to both improve self and increase value to the organization.

Four firms provide space for written comments within the graphic scale and require that all marks be justified. Although tedious, this helps to increase both the validity of ratings and the validity of personnel actions based upon the graphic scale ratings. Weyerhaeuser Company adheres to this system with the objective of making each appraisal "accurate," "precise," and "legally defensible in case of challenge." In an era of raised social consciousness, with

accompanying discrimination suits, reverse discrimination suits, EEO and Affirmative Action, it is mandatory that employee appraisals be legally defensible. It is probable that in the near future many other organizations utilizing grading scales will adopt a policy requiring full justification of both all highly complimentary marks and all adverse marks.

Self-assessment is found within three appraisal systems. In all of these systems an evaluation by the supervisor also occurs. The evaluation by the supervisor is tempered, although not controlled, by the subordinate self-assessment. The intent is not to "let the tail wag the dog," instead it is to allow responsible employees the opportunity to present their accomplishments to upper management and to stimulate increased communication between subordinate and supervisor. As regards self-assessment, Tenneco Oil adheres to the belief that, "If an atmosphere of trust has been developed between you (supervisor and subordinate), it may be surprising to find how accurately many employees will evaluate themselves." (Section 6.4 of MANAGING FOR PERFORMANCE A Supervisor's Guide for Implementing the Tenneco Oil Company's Performance Planning and Evaluation System, February 7, 1978). As the levels of both employee education and overall job expectations increase, it is probable that self-assessment will come into widespread use as an input to the total appraisal process.

In industrial circles, the use of forced distributions appears to be waning in popularity. Only two responding

firms require that an employee be placed into a hypothetical distribution of peers. It is probable that both MBO and the move to appraise personnel on the basis of job performance, as opposed to in comparison with peers, are the primary causes of the seeming demise of the forced distribution.

The weighting of performance factors in relation to their importance to a given job is logically appealing, but is only practiced by one responding firm. The writer conjectures that problems of administration and the confusion resulting from such a weighting system are the causes for such a policy's relative lack of use.

Peer rating is found in only one appraisal system. Peer rating is employed by Digital Equipment Corporation for the evaluation of "many of our technical and scientific people" (personal communication from Robert R. Clark, Manager, Employee and Management Development, 10/24/78). Desirability is considered by only one maritime transportation company.

C. INDUSTRIAL APPRAISAL SYSTEM TYPE AS RELATED TO NOAA CORPS NEEDS

On the whole, industry is concerned with opening channels of communication between subordinate and supervisor. This dialogue is not directed at "touch-feely," "I'm OK, You're OK" pablum, but at a relatively hardnosed look at what the subordinate can do to improve himself/herself professionally and, by so doing, improve the overall capabilities of the organization.

The exceptions to the industrial trend (as observed by the writer) are the marine and air transportation industries. The licensed officers that operate ships and aircraft are evaluated primarily on their physical ability to operate a specific type of craft and the depth of professional knowledge which they have acquired concerning the operation, design, and maintenance of that craft. Although new aircraft and new types of ships are periodically introduced, the basic mission of officers employed in the transportation industry remains unchanged: the safe passage of passengers and cargo.

Looking at the differences between the appraisal systems of the transportation industry and the remainder of industrial types canvassed, the question arises: "What industrial type organization does the NOAA Corps most closely resemble?" Obviously NOAA officers command and man ships and aircraft and are responsible for the safe passage of these vessels. However, NOAA ships and aircraft have highly diverse primary missions ranging from tidal studies, environmental baseline studies, photogrammetric missions, and hurricane "hunting" thru hydrographic surveys, geophysical surveys, global atmospheric studies, etc., ad infinitum. Consider the diverse ship and aircraft missions of the NOAA Fleet, and the fact that the average NOAA Corps officer rotates between sea/flight duty and shore duty (which can range from independent laboratory research through engineering program manager), and

the truly complex nature of both the NOAA Corps mission as a whole and the mission of the individual officer emerges.

It appears that the NOAA Corps is most like the resource companies, construction firms, and research and engineering development entities in appraisal needs. The NOAA Corps needs both a strong evaluation system and a strong developmental system. This will be addressed further in Chapter 7.

IV. UNITED STATES UNIFORMED SERVICES OFFICER APPRAISAL

A. BACKGROUND

As the NOAA Corps is one of the seven uniformed services of the United States, for comparison purposes it is necessary to study the officer fitness report systems of the six larger services. The fact that there is probably no agreed-upon foolproof method of evaluating an individual officer within a given service is reflected by the dynamic nature of the majority of service fitness report systems. Major changes have been instituted by the Air Force, Coast Guard, Navy, and Public Health Service within the last year. The Army is in the midst of a major change in its fitness report system, while the Marine Corps had the latest change to its system in 1977. The changes and proposed changes to the various systems have involved regulations, forms, and in some cases, an outright change in the philosophy of officer appraisal.

The following discussion of the various service appraisal systems in use today is meant to point out the differences between the various service systems as well as point out the strengths and weaknesses of the various systems as the writer perceives them.

B. THE UNITED STATES AIR FORCE OFFICER EFFECTIVENESS REPORT

The Air Force Officer Effectiveness Report, AF Form 707, is explained in Air Force Regulation 36-10, (AF 36-10) and Air Force Pamphlet 36-26.

The Air Force system has recently been affected by problems which were generated by attempting to reduce grade inflation. The heart of the Air Force system, for the four years prior to October 14, 1978, was based on categorizing an individual as a number, 1 thru 6, (see AFP 36-26, page 6- for definitions) which correlates with the six blocks under Section V, Evaluation of Potential, of AF Form 707. A cap was placed on the number of 1's that a rating officer could dole out for a given rated officer population. As the 1's indicated highest potential, morale was hurt on two fronts. According to Air Force sources, officers working remote from a rating officer were less apt to be rated a 1 than an equally (or perhaps even less) capable officer working in close proximity to a rating officer (out of sight, out of mind); and, officers working within elite, handpicked research or task force groups were demoralized as within a given group only 22 percent of ratees could be designated #1's. An additional problem was that the majority of #1's occurred in rated officers due for promotion by reason of longevity (by probable design on the part of rating officers). The required forced distribution of #1's did not work as

AF Form 707, Officer Effectiveness Report (SAMPLE)

I. RATEE IDENTIFICATION DATA (Read AFR 36-10 carefully before filling in any item)					
1. NAME (Last, First, Middle Initial)		2. SSN (Include suffix)		3. PERIOD OF REPORT	
Huff, Kent S., Jr.		231-34-5432FR		FROM: 13 Jul 75	
4. ORGANIZATION, COMMAND, LOCATION, PAF CODE		5. PAFSC		6. DAFSC	
345 Tac Ftr Wg (TAC)		1455		AL321X	
Mt Home AFB, ID		7. ACTIVE DUTY GRADE		8. DAYS OF SUPERVISION	
MTOTDKLS		Capt		376	
		9. PERMANENT GRADE		10. REASON FOR REPORT	
		1 Lt		Annual	
11. JOB DESCRIPTION 1. DUTY TITLE: Enter command level and duty title as they show in the computer as of the closeout date of the report. 2. KEY DUTIES, TASKS, AND RESPONSIBILITIES: Item 2: Describe the type and level of responsibility, the impact, the number of people supervised, the dollar value of projects managed, and any other facts which describe the job of this particular ratee.					
III. PERFORMANCE FACTORS Specific example of performance required NOT OBSERVED OR NOT RELEVANT PAR BELOW STANDARD BELOW STANDARD MEETS STANDARD ABOVE STANDARD WELL ABOVE STANDARD					
1. JOB KNOWLEDGE (Depth, currency, breadth) 0 <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> What has the ratee done to actually demonstrate depth, currency or breadth of job knowledge? Consider both quality and quantity of work.					
2. JUDGMENT AND DECISIONS (Consistent, accurate, effective) <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> How does the ratee think clearly and develop correct and logical conclusions? How does the ratee grasp, analyze, and present workable solutions to problems?					
3. PLAN AND ORGANIZE WORK (Timely, creative) 0 <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Does the ratee look beyond immediate job requirements? How has the ratee anticipated critical events?					
4. MANAGEMENT OF RESOURCES (Manpower and material) 0 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> How does the ratee get maximum return for personnel, material and energy expended? Consider the balance between minimizing cost and mission accomplishment.					
5. LEADERSHIP (Initiative, accept responsibility) 0 <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> How has the ratee demonstrated initiative, acceptance of responsibility, and ability to direct and motivate group effort towards a goal?					
6. ADAPTABILITY TO STRESS (Stable, flexible, dependable) 0 <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> How has the ratee handled pressure? Does quality of work drop off? Improve?					
7. ORAL COMMUNICATION (Clear, concise, confident) 0 <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> How has the ratee demonstrated the ability to present ideas orally?					
8. WRITTEN COMMUNICATION (Clear, concise, organized) 0 <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> How has the ratee demonstrated the ability to present ideas in writing?					
9. PROFESSIONAL QUALITIES (Attitude, dress, cooperation, bearing) 0 <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> How well does the officer meet and enforce Air Force standards of bearing, dress, grooming and courtesy? Is the image projected by the ratee an asset to the Air Force?					
10. HUMAN RELATIONS (Equal opportunity participation, sensitivity) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> How has the ratee demonstrated support for the AF Equal Opportunity Program, and sensitivity for the human needs of others? Evaluation of this factor is MANDATORY.					

AF FORM 707 PREVIOUS EDITION IS OBSOLETE.

OFFICER EFFECTIVENESS REPORT

Figure 3

IV. RECOMMENDED ASSIGNMENT INFORMATION																																													
1. STRONGEST QUALIFICATION					2. ORGANIZATION LEVEL																																								
3. SUGGESTED JOB ASSIGNMENT (Include AFSC)					4. TIMING																																								
V. EVALUATION OF POTENTIAL																																													
<p align="center">TOP BLOCK CONTROLLED</p> <p align="center">Evaluate the ratee's capability relative to that of officers in the same grade in the group being evaluated, for expanded/more diverse responsibility. Indicate your rating by placing an "X" in the designated portion of the appropriate block.</p> <table border="1"> <tr> <td colspan="3">[] [] []</td> <td colspan="3">[] [] []</td> <td colspan="3">[] [] []</td> <td colspan="3">[] [] []</td> </tr> <tr> <td>RATER</td><td>ADDN</td><td>REVR</td> <td>RATER</td><td>ADDN</td><td>REVR</td> <td>RATER</td><td>ADDN</td><td>REVR</td> <td>RATER</td><td>ADDN</td><td>REVR</td> </tr> <tr> <td>Lowest</td><td></td><td></td> <td></td><td></td><td></td> <td></td><td></td><td></td> <td></td><td></td><td>Highest</td> </tr> </table>										[] [] []			[] [] []			[] [] []			[] [] []			RATER	ADDN	REVR	RATER	ADDN	REVR	RATER	ADDN	REVR	RATER	ADDN	REVR	Lowest											Highest
[] [] []			[] [] []			[] [] []			[] [] []																																				
RATER	ADDN	REVR	RATER	ADDN	REVR	RATER	ADDN	REVR	RATER	ADDN	REVR																																		
Lowest											Highest																																		
<p>IF REPORT IS ABBREVIATED. <input type="checkbox"/> REPORT CLOSING OUTSIDE CYCLE <input type="checkbox"/> RATEE RETIRES/SEPARATES WITHIN 4 MONTHS</p> <p>"X" APPROPRIATE BLOCK <input type="checkbox"/> RATEE SELECTED FOR PROMOTION <input type="checkbox"/> LATE TO REVIEWER <input type="checkbox"/> OTHER (Rater explain)</p>																																													
VI. RATER COMMENTS																																													
<p>Organize the comments within the standards of good writing. Do not use headings; underline, indent, or capitalize merely to add emphasis. Include those comments required by paragraph 5-7f. Add any other comments not covered elsewhere and not excluded by paragraph 4-9 which will increase the value and meaning of the report. Amplify those positive aspects of the ratee's performance deserving special note.</p>																																													
NAME, GRADE, BRANCH OF SVC, ORGN. LOCATION					DUTY TITLE			DATE																																					
FREDERICK FINCH, Lt Col, USAF					Sg Operations Officer			1 Nov 76																																					
380 Cmbt Spt Gp (SAC)					SSN (Include suffix)			SIGNATURE																																					
Plattsburgh AFB NY					012-34-5678FR			Frederick Finch																																					
VII. ADDITIONAL RATER COMMENTS																																													
<p>Review the ratings and comments of the rater for completeness and impartiality. If the additional rater does not concur with any rating in section III or V, check the nonconcur block. To reflect disagreement, initial appropriate blocks (section III) and mark additional rater block (section V). Significant disagreement (para 2-13) requires justification.</p>																																													
NAME, GRADE, BRANCH OF SVC, ORGN. LOCATION					DUTY TITLE			DATE																																					
FELIX CARIELLO, Col, USAF					Commander			2 Nov 76																																					
380 Cmbt Spt Gp (SAC)					SSN (Include suffix)			SIGNATURE																																					
Plattsburgh AFB NY					987-65-4321FR			Felix Cariello																																					
VII. REVIEWER COMMENTS																																													
<p>Review the ratings and comments of the rater and additional rater for completeness and impartiality. If the reviewer does not concur with the additional rater, check the nonconcur block. To reflect disagreement, initial appropriate blocks (section III) and mark reviewer block (section V). Significant disagreement (para 2-13) requires justification. (Review group size will not be entered on reports for medical service officers (AFSC 9XXX) or for any abbreviated reports.)</p>																																													
REVIEW GROUP SIZE		NO. OF		NO. OF		NO. OF		NO. OF																																					
30		11		16		5		1																																					
NAME, GRADE, BRANCH OF SVC, ORGN. LOCATION					DUTY TITLE			DATE																																					
JAMES M. ROBINSON, Col, USAF					Commander			4 Nov 76																																					
380 Cmbt Spt Wg (SAC)					SSN (Include suffix)			SIGNATURE																																					
Plattsburgh AFB NY					234-56-7890FR			James M. Robinson																																					

Figure 3

originally intended to aid in the identification of the high performer. However, grade inflation was reduced. Because of the dysfunctional side effects mentioned above, the Air Force rescinded the requirement for a forced distribution of #1's on October 14, 1978.

In spite of the problems encountered in combating grade inflation, the Air Force system had, and continues to have, many positive factors working in its favor. Although not apparent from the form itself, the performance factors of Section III are in fact a sophisticated behaviorally anchored rating scale (See Appendix A). Other strong points of the Air Force system are: 1) the requirement that any rating in "Performance Factors" other than "Meets Standard" requires written justification; 2) a section for recommended assignment information; and 3) Air Force Pamphlet 36-26, Officer Personnel Evaluator's Handbook. The Evaluator's Handbook is a particularly useful tool inasmuch as it provides complete definitions of all parts of AF Form 707, comments on administrative details, provides completed examples of effectively written comments, contains philosophical "Do's" and "Don'ts" as regards the appraisal process, and explains the functions and requirements of all participants in the Air Force appraisal system.

For use of this form, see AR 623-108; proponent agency is US Army Military Personnel Center.

PART I - PERSONAL DATA (Read paragraph 1-2a, AR 623-105)																			
a. LAST NAME - FIRST NAME - MIDDLE INITIAL										b. SSN		c. GRADE		d. DATE OF BIRTH Year Month Day		e. BRANCH Basic Combat		f. SP CAREER PROG CODE	
g. ORGANIZATION, STATION AND MAJOR COMMAND																			
h. CODES (Sta - Maj Comd)																			
PART II - REPORTING PERIOD AND DUTY DATA (Read paragraph 1-2b, AR 623-105)																			
a. Period Covered										b. Reason for Submitting Report		c. Report Issued On							
From		To		RATED DUTY DAYS		b. NONDUTY DAYS				RATER		INDOORER							
YEAR	MONTH	DAY	YEAR	MONTH	DAY	a. NONRATED DUTY DAYS	OTHER DAYS a+b+c+d												
d. EXPLANATION OF NONRATED DUTY DAYS AND/OR OTHER DAYS (As Required)																			
PART III - DESCRIPTION OF DUTIES (Read paragraph 4-1d, AR 623-105)																			
a. Principal Duty Title										b. Duty MOS		c. Auth Grade							
d. Special Career Program Position Designation										e. Designation									
PART IV - PROFESSIONAL ATTRIBUTES (Read paragraph 4-1e, AR 623-105)																			
a. RATER Complete each question. Explain "No" and "Needs improvement" responses in Part IVb and, if necessary, Part VII.																			
										YES	NEEDS IMPROVEMENT	NO							
1. Has this officer demonstrated moral and character strength?																			
2. Did this officer demonstrate technical competence appropriate to his grade and branch?																			
3. Did this officer state, as appropriate, his honest opinions and convictions? (Not a "yes man")																			
4. Did this officer seek responsibility?																			
5. Did this officer willingly accept full accountability for his actions and the actions of his subordinates?																			
6. Is this officer emotionally stable under stress?																			
7. Is this officer's judgment reliable?																			
8. Did this officer maintain effective two-way communication with juniors, seniors, and peers?																			
9. Did this officer demonstrate concern for the best interests of his subordinates?																			
10. Did this officer contribute to the personal and professional development of his subordinates?																			
11. Did this officer subordinate his personal interests and welfare to those of his organization and subordinates?																			
12. Did this officer's personal conduct set the proper example for his subordinates?																			
13. Was this officer innovative in his approach to his duties and responsibilities?																			
14. Did this officer demonstrate a breadth of perspective and depth of understanding beyond the limits of his specific responsibilities?																			
15. Did this officer keep himself physically fit?																			
16. Did this officer fulfill his responsibilities concerning the Army's Equal Opportunity Program?																			
b. RATER Explanations: Questions 1-16																			
c. INDOORER Remarks on above questions, if desired: Questions 1-16																			
PART V - DISSEMINATED PERFORMANCE OF PRESENT DUTY (Read paragraph 4-1f, AR 623-105)																			
RATER AND INDOORER In my judgment, this officer's performance of duty was (place score in applicable box):																			
SCORE		Outstanding 70-60		Superior 57-57		Excellent 56-56		Effective 55-55		Marginal 54-54		Indisquate 53-53							
RATER		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>							
INDOORER		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>		<input type="text"/>							
* You are required to cite SPECIFIC examples or illustrations in Part VII to support this rating.																			

DA FORM 67-7

REPLACES DA FORM 67-6, 1 JAN 66, WHICH IS OBSOLETE.

US ARMY OFFICER EVALUATION REPORT

Figure 4

RATED OFFICER'S LAST NAME, SSN, AND PERIOD OF REPORT					
PART VI - PERFORMANCE (Read paragraph 4-3g, AR 623-103)					
a. RATER (Complete each question in the space provided.)					
1. What did this officer do best?					
2. What company or assignment do you believe this officer would make the greatest contribution to the Army?					
a. RATER AND INDORER If I had full responsibility and authority, I would (place score in applicable box):					
SCORE	Promote this officer immediately 30	Promote this officer to the next higher grade ahead of his contemporaries 29-24	Promote this officer with his contemporaries 23-8	Promote this officer to the next higher grade behind his contemporaries 7-2	Not promote this officer 1-0
RATER	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
INDORER	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
* You are required to cite SPECIFIC examples or illustrations in Part VII to support the rating.					
PART VII - COMMENTS (Read paragraph 4-3h, AR 623-103)					
a. RATER Narrative evaluation is mandatory.					
b. INDORER Narrative evaluation is mandatory unless the provisions of paragraphs 3-2h and 4-3g, AR 623-103 apply.					
PART VIII - REPORT SCORES		PART IX - AUTHENTICATION (Read paragraph 3-2j, AR 623-103)			
PART	RATER	INDORER	a. SIGNATURE OF RATER	TYPED NAME (Last, First, MI)	SSN
V	<input type="text"/>	<input type="text"/>	GRADE, BRANCH, ORGANIZATION, DUTY ASSIGNMENT		
VI	<input type="text"/>	<input type="text"/>	DATE		
Sum	<input type="text"/>	<input type="text"/>	b. SIGNATURE OF INDORER	TYPED NAME (Last, First, MI)	SSN
REPORT SCORE			GRADE, BRANCH, ORGANIZATION, DUTY ASSIGNMENT		
1. With INDORER (a + b)			DATE		
2. Without INDORER (2 X a)			DATE		
PART X - PREPARED BY OFFICER (Read paragraph 3-2k, AR 623-103)					
UNIT		SUBSEQUENT			
a. DATE *ENTERED 1 ON JUN 66	b. RATED OFFICER COPY (Check one and date)	c. FORWARDING ADDRESS (Rater Officer)		d. DATE RECEIVED	
MPO INITIALS	<input type="checkbox"/> 1. Given to officer <input type="checkbox"/> 2. Forwarded to officer <input type="checkbox"/> 3. Forwarded to interior <input type="checkbox"/> 4. Forwarded to reviewer			e. RATED OFFICER COPY <input type="checkbox"/> 1. Given to officer <input type="checkbox"/> 2. Forwarded to officer <input type="checkbox"/> 3. Returned to MPO	

Figure 4

C. THE UNITED STATES ARMY OFFICER EFFICIENCY REPORT

The form presently in use by the Army is Form DA 67-7, 1 January 1973. The pertinent Army regulation governing use of this form is AR 623-105. The present form and system, according to the New York Times, 1/3/73, was purportedly designed to "measure the man" better and encourage "the yes man less."

To accomplish this, Form DA 67-7 includes a graphic rating scale of professional attributes, a section on demonstrated performance of present duty, a section on recommendations concerning promotion, and the ubiquitous narrative comment section.

Significantly, no point score is attached to the graphic scale. However, any answer other than "yes" to the questions on the graphic scale requires written explanation.


In spite of the fact that the Army chose not to give a point total to results of the graphic scale, DA 67-7 is designed to obtain a point total from the section on demonstrated performance of duty (70 possible) and the section on promotability (30 possible). Both the rater and indorser grade a rated officer on these items giving a rated officer a possible point total of 200 for a given report.

This grading system has been beset by gross inflation as raters feel obligated to take care of "their own." In addition, the Army has become cognizant of a lack of communication between juniors and seniors. To overcome these

problems, the Army is instituting a new system that will incorporate the tenets of MBO, including a measure of self-evaluation (See Fig. 5), by year-end 1979. However, the Army is caught in a Catch-22 situation: MBO, by its very nature, is not designed to differentiate highly between even small numbers of individuals. The vast numbers of Army officers considered in an Army Promotion Board preclude use of pure MBO or self-evaluation as a differentiating mode of appraisal. As such, the Army, as matters presently stand, will require a reporting senior to place the rated officer numerically within a hypothetical population of one hundred Army officers. This number, from one to one hundred, will probably tend to be the deciding factor in promotion boards. It is doubtful that such a system will do much to improve the inflationary trend of today's system. However, from an organizational standpoint, overall officer effectiveness within the Army can only be enhanced by increasing communication between junior and senior officers.

D. THE UNITED STATES COAST GUARD REPORT ON THE FITNESS OF OFFICERS

Instructions for the Coast Guard Officer Fitness Reports, Forms CG 4328A, 4328 A-1, 4328B, 4328 B-1, and 4328 C (Rev. 10-78) are found in Chapter 10 of the Personnel Manual, CG-207 and Commandant Instruction 1611.7, 13 September, 1978. The Coast Guard is unique among the services in having five separate fitness reports for the different grades and combination of grades between O-1 and O-6. Warrant officers are

OFFICER EVALUATION REPORT SUPPORT FORM			
For use of this form, use AR 623-108; proponent agency is US Army Military Personnel Center.			
Read Instructions on Reverse before Completing this Form.			
PART I - RATED OFFICER IDENTIFICATION			
NAME OF RATED OFFICER (Last, First, MI)	GRADE	PRINCIPAL DUTY TITLE	ORGANIZATION
Mitchell, Frank S.	LTC	Division Chief	Supply Services Division, Ft. Williams, Neb.
PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:			
RATER	NAME	RANK	POSITION
	Gleher, James G.	COL	DIO, Ft. Williams, Neb.
INTERMEDIATE RATER	NAME	RANK	POSITION
SENIOR RATER	NAME	RANK	POSITION
	Steen, Robert K.	COL	COFS, Ft. Williams, Neb.
RATED OFFICER'S SPECIALTIES/MOS		DUTY ESI/MOS	
92/93		92A	
PART III - RATED OFFICER (Complete a, b and c below for this rating period)			
a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES			
Provides staff advice and supervision of all matters concerning Class I subsistence supply to include the retail Commissary; operates the Laundry and Dry Cleaning Plant; disposes of surplus and excess property; supervises Property Control which includes responsibility for receipt storage and issue of all classes of supply; operates the Self Service Supply Center and Clothing Sales Store; provides staff advice on cemetery matters and is responsible for administration of the Post Cemetery; provides technical advice and assistance on food service matters.			
b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES			
(1) Increase and improve utilization of warehousing space. (2) Reduce operating losses at the Laundry and Dry Cleaning Plant and increase customer satisfaction. (3) Improve traffic flow and appearance of the Commissary entrance. (4) Realign supply functions and procedures to increase customer satisfaction and conform to existing regulations. (5) Relocate the Self Service Center and improve operations. (6) Establish a system for proper contract monitoring. (7) Effectively execute supply discipline, property accountability, and inventory accuracy of all government equipment and property throughout the installation. (8) Establish a comprehensive audit trail system to identify and manage cost-factor elements.			
c. LIST YOUR SIGNIFICANT CONTRIBUTIONS			
(1) Completed warehousing program resulting in a 20% reduction in required storage space. Initiated action to establish a consolidated warehouse. (2) Continued installation of new laundry equipment to improve productivity. (3) Initiated single line requisitioning and improved stockage policies in the supply operation which should ultimately result in a 20% reduction in the cost of non-standard items. (4) Reduced 638 lines in the Self Service Supply Center and instituted controls to better manage sensitive items. (5) Established a new traffic flow at the Commissary entrance to improve ID verification and reduce congestion. (6) Decentralized contract monitoring resulting in proper contract performance evaluation. (7) Conducted a complete inventory and accounted for all property, followed by introduction of new supply discipline programs throughout the installation. These programs are still not up to my standards.			
<div style="text-align: right;">  (Signature and Date) </div>			

DA FORM 6-78

EXAMPLE OF DA FORM 6-78

37
Figure 5

included within this system. In this respect, the Coast Guard is the only service to recognize within the context of its Fitness Report System the varying nature of one's duties as an officer progresses through the various grades.

Scoring of a Coast Guard Fitness Report is similar on all forms. Equal weight is given to Section 14 - Performance of Duties, Section 15 - Attitude, Section 16 - Comparison, and Section 17 - Personal Qualities on all forms. The point total is 36. A look at the desired distribution of grades as indicated on Form CG-4328 (Rev. 10-78) indicates that anything less than a 28 is cause for concern.

As mentioned previously, the Coast Guard has revised its forms and regulations governing the disposition of Fitness Reports within the past year. The reason for this, as reported in Commandant Instruction 1611.7 (See Appendix A), was a trend toward inflated marks which had recently accelerated at an alarming rate. The reasons for this trend, as given in COMDT INST 1611.7, are as pertinent to the NOAA Corps as they are to the Coast Guard. The following reasons for mark inflation are enumerated:

- a) "Limited growth in the size of the officer corps, and very little voluntary attrition have combined to make our promotion process increasingly competitive."
- b) "Evaluation systems tied to promotion and pay tend to create pressure on the evaluator to inflate subordinates' marks."
- c) "A lack of information has contributed to suspicion and mistrust in the officer corps in regard to the fitness report system."

DEPARTMENT OF TRANSPORTATION U.S. COAST GUARD CG-4328A (Rev. 10-78)	REPORT ON THE FITNESS OF LIEUTENANTS (JUNIOR GRADE) AND CHIEF WARRANT OFFICERS (W-2)	REPORTS CONTROL SYMBOL G-PO-3872																																																																																																																																																																																																																																																																																																																																
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12. DUTIES (List primary duties first, add watches and collateral duties. Indicate, after each, time spent in months during the reporting period. If assignment involves duties not well established, give outline of purpose, scope and significance of such duties. If necessary, use separate sheet. Personal or official reports of possible use to the reporting officer in evaluating your performance may be attached but should not be referenced. Include all periods in a PCS travel status. See Personnel Manual, 10-A-16.) Days on TAD All other days not present for duty																																																																																																																																																																																																																																																																																																																																		
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13. PERFORMANCE INFORMATION CONSIDERED IN COMPLETING THIS REPORT a. INFORMATION: Indicate for each method of appraisal used the quality of performance information considered in completing this report by marking an X in the appropriate marking box of each row.		QUALITY OF INFORMATION (Consider the frequency, relevancy, accuracy and scope of information.) <table border="1" style="width: 100%; text-align: center;"> <tr> <td>VERY GOOD</td> <td>GOOD</td> <td>LIMITED</td> <td>NO SIGNIFICANT INFORMATION</td> </tr> </table>	VERY GOOD	GOOD	LIMITED	NO SIGNIFICANT INFORMATION																																																																																																																																																																																																																																																																																																																												
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b. DOCUMENTATION: Append reports of outstanding or unsatisfactory performance and reference them in this space. Avoid extraneous material (See Personnel Manual 10-A-4.)																																																																																																																																																																																																																																																																																																																																		
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Previous Editions are Obsolete

SN-7530-00-FO1-7128

Figure 6

17. PERSONAL QUALITIES (In comparison with other officers with similar length of service in his grade, to what degree has this officer exhibited the following qualities?)	NOT DE- SERVED	OUT- STAND- ING	EXCELLENT	VERY GOOD	GOOD	SATIS- FACTORY	UNSATIS- FACTORY
a. LEADERSHIP Ability to accomplish assigned tasks, functions and objectives by directing the efforts of others; ability to give and take orders and other forms of guidance; ability to gain the confidence of superiors and subordinates; integrity of purpose and character. Ability to recognize and carry out equal opportunity responsibilities.	9	8	7	6	5	4	3
b. HUMAN RELATIONS Ability to get along with others with whom he must work and live; ability to maintain proper relations when dealing with subordinates and superiors, both military and civilian; willingness to learn from and to work with and through subordinate sources of authority such as petty officers; ability to deal with personnel problems and keep morale high; ability to deal authentically but courteously with the public; ability to lead in a humane, cooperative and morally responsible manner.	9	8	7	6	5	4	3
c. PROFESSIONAL KNOWLEDGE Knowledge of the service; knowledge required to perform his duties and to support the command to which he is assigned; knowledge of basic professional subjects; knowledge of other subjects of value to performance as a Coast Guard officer; scope of general knowledge; depth of specific knowledge.	9	8	7	6	5	4	3
d. JUDGMENT Ability to grasp a situation, think clearly, develop, analyze, interpret information, and arrive at reasonable conclusions of practical significance in solving complex problems.	9	8	7	6	5	4	3
e. FORCE Proper control of positive motivation; moral courage; loyalty to superiors and subordinates; loyalty to service and country; ability to take initiative; courage of his convictions but willingness to abide by and live with official decisions that run counter to his own, i.e., willingness to observe lines of authority.	9	8	7	6	5	4	3
f. INITIATIVE Motivated to make his unit and the Coast Guard the best possible by finding worthwhile application for ideas, innovations and new developments; motivated to increase his professional knowledge and to do the best job he can; willingness to sacrifice, if necessary.	9	8	7	6	5	4	3
g. Overall evaluation of personal qualities. Composite of a. through f.	9	8	7	6	5	4	3
h. Desired distribution of marks in item g.	10%	30%	35%	20%	5%		
18. COMMENTS. (In this section a general appraisal of the officer should be developed which will integrate and round out the evaluation made elsewhere in this form. Indicate accomplishments including original and constructive professional work.) A specific comment addressing the performance of EEO responsibilities is required in this section (See COMDTINST 5354.2 series)							
19. I have marked this officer in accordance with the DESIRED distributions in Sections 14b, and 17h.							
20. The officer reported on has been shown this report in accordance with (G-A-1, Personnel Manual. (If "NO", indicate reason in Section 18.) YES <input type="checkbox"/> NO <input type="checkbox"/>							
21. What has been the trend of his performance since your last report? FIRST REPORT <input type="checkbox"/> IMPROVING <input type="checkbox"/> STEADY <input type="checkbox"/> DECLINING <input type="checkbox"/>							
22. If any unsatisfactory mark or written comment of unsatisfactory performance is included in this report, check here. <input type="checkbox"/> If so, it must be referred to the officer reported on for written comment and his comments attached to this report.							
OFFICER	DATE	SIGNATURE	GRADE	SERVICE NO. SSN	TITLE OF POSITION		
23. PREPARING							
24. REPORTING							
25. REVIEWING							
CONCUR <input type="checkbox"/> COMPLETENESS ONLY <input type="checkbox"/> COMMENTS ATTACHED <input type="checkbox"/>							

Figure 6

- d) "The overall competence and performance level of officers in general may be at a higher level than in the past."

To help reverse the inflationary trend, the Coast Guard established new desired distributions for "Performance of Duties" and "Personal Qualities" for each individual form. To enforce these changes, a statement of compliance with the desired distribution is required of the reporting officer. As an added check, the reviewing officer inspects all fitness reports coming from a specific reporting officer to insure compliance with the desired distribution. The Coast Guard has skewed its desired distribution highly to the left as a reflection of statement (d) above. As such, it would appear to endorse a policy of little differentiation between a general population of high performers. However, the new desired distribution would appear to make it more palatable to a rating officer to mark a marginal subordinate in the low range of the distribution. On all Coast Guard forms, an officer can be in the lowest 15 percent of officers for his length of service and grade and still be "Very Good."

E. THE UNITED STATES MARINE CORPS FITNESS REPORT

Instructions for the completion of Form NAVMC 10835 (6-71), are included in United States Marine Corps Order 1610.7B (MCO 1610.7B). The Marine Corps form is designed for use with an optical character reader (OCR).

The Marine Corps fitness report system is designed to evaluate both non-commissioned and commissioned officers. Objectives of this system according to MCO 1610.7B, section 1001-2 are:

- a) Improvement of performance which is achieved by "coupling the fitness report (i.e., a report of past performance) with counseling and coaching to determine where, and how, performance should be improved (i.e., a plan for future performance)."
- b) Promotion of worthy Marines
- c) Separation of the least competent
- d) Assignment

As an example of the depth to which a machine readable form can reach, the evaluative portion of the Marine Corps Fitness Report contains a graphic rating scale broken into a performance section and a personal qualities section, an "...Estimate of This Marine's General Value to the Service," the distribution of the rater's marks for all Marines of the ratee's grade, a statement of desirability during wartime, a narrative section which includes a requirement to reference all commendatory or adverse reports received on the rated officer, and a statement as to whether the rated officer is qualified for promotion.

In addition Block 18, Report Based On, gives an idea of the quality of information contained in the report, and Block 20 gives a coded Recommendation for "Next Duty."

Block 15a, General Value to the Service, and Block 15b,

USMC FITNESS REPORT (1610)

NAVMC 10835 (6-71)
SN 0000-004-3751 U/S SM
1st REPRINT

ALIGNMENT LINE

- See reverse for instructions -

PROGRAM		1. ORGANIZATION		a. DESCRIPTIVE TITLE (Abbreviate as required)	
2. MARINE REPORTED ON		b. LAST NAME	c. FIRST NAME	d. M.I.	e. GRADE
3. OCCASION AND PERIOD COVERED		f. TYPE	g. PERIOD OF NONAVAILABILITY (30 or more consecutive days)-EXPLAIN		
4. FIRST REGULAR DUTY		a. DESCRIPTIVE TITLE	b. MONTHS	c. T/O NO.	d. LINE NO.
5. SECOND REGULAR DUTY		a. DESCRIPTIVE TITLE	b. MONTHS	c. T/O NO.	d. LINE NO.
6. DEPENDENTS REQUIRING TRANSPORTATION		a. NO.	b. LOCATION	c. ADDRESS	
10a. DUTY PREFERENCE (Code)		10b. DUTY PREFERENCE (Descriptive Title) (Abbreviate as required)		3d	
11. REPORTING SENIOR		a. SERVICE	b. GRADE	c. IDENTIFICATION NO.	d. NAME AND DUTY ASSIGNMENT
12. SPECIAL CASE (Mark if applicable)		13. PERFORMANCE			
NOT OBSERVED		13a. REGULAR DUTIES			
EXTENDED REPORT		13b. ADDITIONAL DUTIES			
		13c. ADMINISTRATIVE DUTIES			
		13d. HANDLING OFFICERS (Name, Grade, "NO")			
		13e. HANDLING ENLISTED PERSONNEL			
		13f. TRAINING PERSONNEL			
		13g. TACTICAL HANDLING OF TROOPS			
		14. QUALITIES			
		14a. ENDURANCE			
		14b. PERSONAL APPEARANCE			
		14c. MILITARY PRESENCE			
		14d. COOPERATION			
		14e. INITIATIVE			
		14f. JUDGMENT			
		14g. PRESENCE OF MIND			
		14h. FORCE			
		14i. LEADERSHIP			
		14j. LOYALTY			
		14k. PERSONAL RELATIONS			
		14l. ECONOMY OF MANAGEMENT			
		14m. GROWTH POTENTIAL			
		15a. YOUR ESTIMATE OF THIS MARINE'S "GENERAL VALUE TO THE SERVICE"			
		15b. DISTRIBUTION OF MARKS FOR ALL MARINES OF THIS GRADE			
		15c. FILL BOXES SO THAT THE SUM OF EACH COLUMN CORRESPONDS TO ITEM 15b.			
		16. CONSIDERING THE REQUIREMENTS OF SERVICE IN WAR, INDICATE YOUR ATTITUDE TOWARD HAVING THIS MARINE UNDER YOUR COMMAND.			
		17. HAS MARINE BEEN THE SUBJECT OF ANY OF THE FOLLOWING REPORTS? IF YES, ATTACH COPY OR REFERENCE IN SECTION C.			
		18. REPORT BASED ON OBSERVATION			
		19. QUALIFIED FOR PROMOTION			
		20. RECOMMENDATION FOR NEXT DUTY			
		21. RESERVED FOR FUTURE USE			
		22. I CERTIFY that the information in section A is correct to the best of my knowledge.			
		23. I CERTIFY that to the best of my knowledge and belief all entries made herein are true and without prejudice or partiality. I HAVE (NOT) counseled this Marine concerning his overall performance of duty.			
24. (Check one when required) I HAVE SEEN THIS COMPLETED REPORT AND		25. REVIEWING OFFICER (Name, Grade, Duty Assignment)		25a. INITIALS	
I HAVE NO STATEMENT TO MAKE				25b. DATE	
I HAVE ATTACHED A STATEMENT.					

Figure 7

STAMP ADDITIONAL PAGES HERE

ALTERNATE SECTION A FOR USE WHEN
OCR TYPEWRITER IS NOT AVAILABLE

1. MARINE REPORTED ON a. LAST NAME b. FIRST NAME c. M.I. d. GRADE e. IDENTIFICATION NO. f. PMOS g. STATUS	
2. OCCASION AND PERIOD COVERED a. DATE b. FROM c. TYPE d. PERIODS OF NONAVAILABILITY (30 or more consecutive days): EXPLAIN	
3. FIRST REGULAR DUTY a. DESCRIPTIVE TITLE b. MONTHS c. T/O NO. d. LINE NO. e. DUTY NO. f. SPECIAL INFORMATION g. QUALIFICATION h. OTHER (Use only when directed)	
4. SECOND REGULAR DUTY a. DESCRIPTIVE TITLE b. MONTHS c. T/O NO. d. LINE NO. e. DUTY NO. f. RESERVED FOR FUTURE USE g. ORGANIZED RESERVE DUTY h. ATTN i. SERO.	
5. DEPENDENTS REQUIRING TRANSPORTATION a. NO. b. LOCATION c. ADDRESS	
6. DUTY PREFERENCE (Code) a. NO. b. LOCATION c. ADDRESS	
7. DUTY PREFERENCE (Descriptive Title) (Abbreviate as required) a. NO. b. LOCATION c. ADDRESS	
8. REPORTING SENIOR a. SERVICE b. GRADE c. IDENTIFICATION NO. d. NAME AND DUTY ASSIGNMENT	

GENERAL INSTRUCTIONS

1. This form is designed for use with optical character recognition (OCR) equipment. Do not fold or mutilate. Section A must be prepared by typewriter using a USASI Type-A standard character set for OCR. Typing must be double spaced, in correct alignment and in capital letters. When an OCR typewriter is not available, use the alternate section A above. Section 8 must be completed in black ink or black felt pen. Each completed block must be filled with an "X" that touches each corner of the block. No mark is to appear outside the boundaries of the block.

a. Abbreviations shown in marking boxes stand for the following:

- ☐ NO: NOT OBSERVED (Insufficient opportunity to evaluate.)
- ☐ UN: UNSATISFACTORY (Unacceptable performance.)
- ☐ BA: BELOW AVERAGE (Below the generally accepted standard.)
- ☐ AV: AVERAGE (Qualified to the generally accepted standard.)
- ☐ AA: ABOVE AVERAGE (Highly qualified.)
- ☐ EX: EXCELLENT (Qualified to degree seldom achieved by others of grade.)
- ☐ OS: OUTSTANDING (One of the clearly superior individuals of his grade known to the reporting senior.)

b. Definitions of qualities listed in item 14:

- ENDURANCE (Physical and mental ability for carrying on under fatiguing conditions.)
- PERSONAL APPEARANCE (The trait of habitually appearing neat, smart and well-groomed in uniform or civilian attire.)
- MILITARY PRESENCE (The quality of maintaining appropriate dignity and soldierly bearing.)
- ATTENTION TO DUTY (Industry; the trait of working thoroughly and conscientiously.)
- COOPERATION (The faculty of working in harmony with others, military and civilian.)
- INITIATIVE (The trait of taking necessary or appropriate action on own responsibility.)
- JUDGMENT (The ability to think clearly and arrive at logical conclusions.)
- PRESENCE OF MIND (The ability to think and act promptly and effectively in an unexpected emergency or under great stress.)
- FORCE (The faculty of carrying out with energy and resolution that which is believed to be reasonable, right or duty.)
- LEADERSHIP (The capacity to direct, control and influence others and still maintain high morale.)
- LOYALTY (The quality of rendering faithful and willing service and unswerving allegiance under any and all circumstances.)
- PERSONAL RELATIONS (Faculty for establishing and maintaining cordial relations with military and civilian associates.)
- ECONOMY IN MANAGEMENT (Effective utilization of men, money and materials.)
- GROWTH POTENTIAL (The capacity for professional development.)

2. Supplementary pages may be attached as necessary to provide additional information including amplification of section C. Each page must include the name and identification number of the Marine reported on, the period and occasion of the report, the item number of section being amplified, and the signature of the reporting senior. All such pages must be attached by staple to the source provided.

Figure 7

Distribution of Marks for all Marines of this Grade, appear to be the "guts" of the Marine Corps system for promotion, retention, and assignment to critical positions. According to MCO 1610.7B, Section 3004, paragraph 6a,

"Item 15 is not a summary or average of marks in items 13 and 14. It is the reporting senior's estimate of how the Marine compares with all other Marines of the same grade known by the reporting senior, taking into consideration all important factors such as performance, versatility, potential, and preference for having the Marine as a member of the command."

Paragraph 6a(2) defines the requirements for Block 15b.

Block 15b establishes the distribution of

"all other Marines of the same grade under the reporting senior's supervision at the time of the report, as if all had been included in the reporting occasion. Inclusion of all other Marines of the same grade in this distribution is mandatory whether or not reports are actually submitted on all others at this time. This distribution serves to advise members of selection and assignment boards/processes of the relative standing of a Marine within a population of the same grade and should provide the discrimination necessary to identify truly outstanding Marines as well as those needing improvement. Since this mark is of vital importance to each Marine's career, reporting seniors must exercise utmost care and attention, ensuring that the members distributed in items 15b and 15c realistically reflect actual spread of performance, avoiding an artificial cluster or false distribution."

In essence, Blocks 15a and 15b are the bottom line of the Marine Corps Fitness Report. As regards Block 15b, there is no requirement for a forced distribution in MCO 1610.7B.

Within the Marine Corps system, MCO 1610.7B Section 3006, COUNSELING, could be pertinent to the NOAA Corps as well as relevant to most other organizations. The counseling steps recommended include:

- a) "Reviewing the Marine's Performance"
- b) "Evaluation of the Marine's Performance"
- c) "Establishment of a Target"
- d) "Establishment of a Coaching Plan"

The counseling approach suggested by the Marine Corps is a good example of a Management-by-objectives (MBO) approach as utilized in a service environment. (See Appendix A for a copy of MCO 1610.7B, Section 3006).

F. THE UNITED STATES NAVY REPORT ON THE FITNESS OF OFFICERS

Regulations governing the completion of Report on the Fitness of Officers (NAVPERS 1611/1 Rev. 5-77) are found in BUPERS INSTRUCTION 1611.12E. Like the Marine Corps Fitness Report, the Navy form is designed to be processed by optical character reading (OCR) equipment. When first confronting the Navy form, it appears to be more cluttered and complicated than the Marine Corps form. However, with study, the nuances of the Navy form and system can be readily clarified.

The Navy system is primarily designed to select officers for promotion and aid in assignment. To accomplish this a rating officer first completes a worksheet (Form NAVPERS 1611/1W) which serves as a guide for the completion of Report on the Fitness of Officers. After finishing the worksheet (to be discussed in detail further on in the text), an officer is graded on Specific Aspects of Performance, Warfare Specialty Skills, and subspecialty performance. These grades, combined

and in some cases justified by the required narrative comments, are the basis for the Evaluation, which is under Mission Contribution. Formerly, it was mandatory that an officer placed in the highest range of Evaluation be recommended for early promotion; but, this requirement was terminated effective 1 May 1979.

The Summary, under Mission Contribution, is the distribution of overall evaluation marks given other officers of the same promotionally competitive category as the rated officer at that date by the reporting senior. This method is analogous to the Marine Corps system and is used to assist report users in making comparisons among reports submitted by different reporting seniors. There is no required distribution in the Summary. To further differentiate between highly competent officers of the same competitive category recommended for early promotion by a rating senior, the rating officer must rank these officers numerically from one to X (where X is total number recommended for early promotion).

At once a strength and weakness of the Navy system is the worksheet, NAVPERS 1611/1W (Rev. 11-78). A rating officer is required to fill out a worksheet on all rated officers under his jurisdiction. These worksheets are used to provide guidance in the completion of Report on the Fitness of Officers and to define the measures under "Specific Aspects of Performance" and "Personal Traits." In addition, the

REPORT ON THE FITNESS OF OFFICERS

1. NAME (LAST, FIRST, MIDDLE)				2. GRADE		3. DESIG.		4. SSN	
5. ACQUA/TEMAC		6. UIC		7. SHIP/STATION				8. DATE REPORTED	
OCCASION FOR REPORT				10. DETACHMENT OF REPORTING SENIOR		11. DETACHMENT OF OFFICER		PERIOD OF REPORT	
9. PER-100HC								12. FROM: 13. TO:	
TYPE OF REPORT				BASIS FOR OBSERVATION					
14. REG-ULAR		15. CON-CURRENT		16. SPE-CIAL		17. OPS CDR		18. CLOSE	
								19. FRE-QUENT	
								20. INFRE-QUENT	
21. EMPLOYMENT OF COMMAND (CONTINUED ON REVERSE SIDE OF RECORD COPY)									22. DAYS OF COM-BAT
23. REPORTING SENIOR (LAST NAME, FI, MI)				24. TITLE		25. GRADE		26. DESIG.	
								27. SSN	
28. DUTIES ASSIGNED (CONTINUED ON REVERSE SIDE OF RECORD COPY)									
SPECIFIC ASPECTS OF PERFORMANCE (TYPE IN OCR CODE LETTER FROM WORK SHEET)									
29. GOAL SETTING & ACHIEVEMENT		30. SUBORDINATE MAN-AGEMENT & DEVELOPMENT		31. WORKING RELATIONS		32. EQUIP & MATER-IAL MANAGE.		33. NAVY OR-GAN SUPPORT	
				34. RESPONSE IN STRESSFUL SITUATIONS		35. EQUAL OPPORTUNITY		36. SPEAKING ABILITY	
								37. WRITING ABILITY	
WARFARE SPECIALTY SKILLS (FROM OCR WORK SHEET)		39. AIR-MANSHIP		40. WATCH STANDING		41.		42.	
38. SEA-MANSHIP								43.	
44. SUBSPECIALTY CODE		REQUIRED BY BILLET		UTILIZATION		WORK SHEET CODE		50. PERFOR-MANCE	
		45. YES		46. NO		47. FRE-QUENT		48. INFRE-QUENT	
								49. NONE	
MISSION CONTRIBUTION		NOT OBS.		HIGH		MID		LOW	
								MARG. UNSAT*	
51. EVALUATION									
52. SUMMARY									
TREND OF PERFORMANCE									
53. FIRST REPORT		54. CON-SISTENT		55. IMPROVING		56. DECLINING*			
DESIRABILITY (TYPE IN OCR CODE FROM WORK SHEET)									
57. COM-MAND		58. OPERA-TIONAL		59. STAFF		60. JOINT/OSD		61. FOREIGN SHORE	
RECOMMENDATION FOR PROMOTION									
62. EARLY		63. REG-ULAR		64. NO*		65. NUMBER RECOMMENDED		66. RANKING	
PERSONAL TRAITS (TYPE IN OCR CODE FROM WORK SHEET)									
67. JUDG-MENT		68. IMAGIN-ATION		69. ANALYTIC ABILITY		70. PERSONAL BEHAVIOR		71. FORCE-FUL-NESS	
								72. MILITARY BEARING	
WEAKNESSES DISCUSSED									
77. NONE NOTED		78. YES		79. NO*		STATEMENT		81. ATTACHED	
						80. NOT DESIRED			
82. SIGNATURE OF OFFICER EVALUATED: (NAV SUPERS INST. 1511-12 SERIES) "I ACKNOWLEDGE THAT I HAVE SEEN THIS REPORT, HAVE BEEN APPRISED OF MY PERFORMANCE AND RIGHT TO MAKE A STATEMENT."									
83. SIGNATURE OF REPORTING SENIOR									
83. DATE FORWARDED		84.							
85. SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT AND CONCURRENT/SPECIAL REPORT									
86. DATE FORWARDED									

NAVPERS 1511/1 (REV. 5-77) SH 0106-LP-016-1100

★ U. S. GOVERNMENT PRINTING OFFICE: 1977 - 249-915/015

REPORTING SENIOR'S COPY

TEAR ALONG PERFORATED LINE WHEN COMPLETE.

*Comments are required. Enter comments in Section 88 on RECORD, OFFICER and REPORTING SENIOR'S copies.
DO NOT ATTACH CONTINUATION PAGES TO OCR COPY.

(Navy)

Figure 8

21. EMPLOYMENT OF COMMAND (Continued)

22. DUTIES ASSIGNED (Continued)

23. COMMENTS. Particularly comment upon the officer's overall leadership ability, personal traits not listed on the reverse side, and estimated or actual performance in command. Include comments pertaining to unique skills and distinctions that may be important to career development and future assignment. A mark in boxes with an asterisk (*) indicates adversity and supporting comments are required.

Figure 8

worksheet defines the alphanumeric scale to be used in grading the various performance aspects and personality traits. This scale ranges from A to I with A being the highest rating.

The appraisal worksheet, which is to be used in discussion with the rated officer, forces the rating officer to take an indepth look at all aspects of an officer's performance that the Navy considers pertinent. In addition, the rating officer maintains a file of appraisal worksheets that he has filled out on all rated officers in his command. The maintenance of this file by a rating officer during his tenure in a command assures consistency from one report to another on a given rated officer. If discrepancies in reported appraisal of a subordinate occur from one rating period to the next, they must be fully explained in the narrative comments of both the worksheet and the Report on the Fitness of Officers. Under no circumstance is the worksheet file to be made available to a rating officer's relief.

In principle, the use of the appraisal worksheet is great. In practice, a rating officer has approximately one hundred decisions per rated officer that must be made on each worksheet as well as write narrative comments concerning each rated officer. It is difficult to believe that even the most dedicated officer would be able to endure filling out such a form for even a small number of subordinates. It appears that time constraints would be prohibitive for more

APPRAISAL WORK SHEET

1 NAME (Last, First, Middle)		5 GRADE		9 DATE REPORTED	
6 ADDRESS (Home)		7 EMPLOYER'S ADDRESS		8 DATE REPORTED	
10 CLASSIFICATION OF REPORT		11 PLACE OF REPORT		12 TO	
13 PERSON		14 OFFICIALS OF OFFICE		15 TO	
16 IN PERSON		17 OFFICIALS OF OFFICE		18 TO	
19 PERSON		20 OFFICIALS OF OFFICE		21 TO	
22 CLASSIFICATION OF REPORT		23 PLACE OF REPORT		24 TO	
25 PERSON		26 OFFICIALS OF OFFICE		27 TO	
28 IN PERSON		29 OFFICIALS OF OFFICE		30 TO	
31 PERSON		32 OFFICIALS OF OFFICE		33 TO	
34 CLASSIFICATION OF REPORT		35 PLACE OF REPORT		36 TO	
37 PERSON		38 OFFICIALS OF OFFICE		39 TO	
40 IN PERSON		41 OFFICIALS OF OFFICE		42 TO	
43 PERSON		44 OFFICIALS OF OFFICE		45 TO	
46 CLASSIFICATION OF REPORT		47 PLACE OF REPORT		48 TO	
49 PERSON		50 OFFICIALS OF OFFICE		51 TO	
52 IN PERSON		53 OFFICIALS OF OFFICE		54 TO	
55 PERSON		56 OFFICIALS OF OFFICE		57 TO	
58 CLASSIFICATION OF REPORT		59 PLACE OF REPORT		60 TO	
61 PERSON		62 OFFICIALS OF OFFICE		63 TO	
64 IN PERSON		65 OFFICIALS OF OFFICE		66 TO	
67 PERSON		68 OFFICIALS OF OFFICE		69 TO	
70 CLASSIFICATION OF REPORT		71 PLACE OF REPORT		72 TO	
73 PERSON		74 OFFICIALS OF OFFICE		75 TO	
76 IN PERSON		77 OFFICIALS OF OFFICE		78 TO	
79 PERSON		80 OFFICIALS OF OFFICE		81 TO	
82 CLASSIFICATION OF REPORT		83 PLACE OF REPORT		84 TO	
85 PERSON		86 OFFICIALS OF OFFICE		87 TO	
88 IN PERSON		89 OFFICIALS OF OFFICE		90 TO	
91 PERSON		92 OFFICIALS OF OFFICE		93 TO	
94 CLASSIFICATION OF REPORT		95 PLACE OF REPORT		96 TO	
97 PERSON		98 OFFICIALS OF OFFICE		99 TO	
100 IN PERSON		101 OFFICIALS OF OFFICE		102 TO	

GENERAL INSTRUCTIONS

This operational work sheet is designed to serve two purposes. First to assist in preparation of the (M R Sheet) Record copy and second to provide guidance for the performance appraisal interview.

All valuations made in this report shall be in comparison with values of the same grade, composition category (i.e. untreated and life with untreated lime, supply value with supply value, etc.) and composition value on similar values with same source.

Due to space limitations of the UCR sheet, it is necessary to transcribe conditions marks assigned in the various reports. This corresponding UCR code letters for certain items. To prevent transcription error, an UCR code letter has been provided for each of these items.

General comments are required in item 2d. Any mark in brackets (") indicates advisory and supporting comments are required in item 2d. The office or its designee should be informed of such and be given the opportunity to make a statement.

20. **UNITED ASSURED** (identify principal donor, company, primary individual donor and work qualifications, including number of months completed each during the period of report. Indicate whether a donor of period of last completion of 12-month course, or recipient, additional donor, and have and intend to return duty station. For recipients listed on other lists ("Lost Officers"), indicate either recipient duty station or months duty completed following by the date last of months duty or the personnel file(s) reported upon the reporting month, if available (e.g., 6/44). Donor dates along with returned names should be classified with the office use in the reporting period. (R/R to 01/04)

SPECIFIC ASPECTS OF PERFORMANCE (The following deals on specific aspects of performance. Each report has the sub-section listed below if it exists or declares it and to provide guidelines for the performance appraisal discussion.)
To evaluate the effect on each performance aspect, review the sub-section and place marks at the appropriate places to the right of each sub-item. The marks at this section must also be justified by the
reporting (submitted) for the performance appraisal discussion. 21 and accompanied with the UK HR 9000 form. Length of the report is limited to 10 pages and must be submitted by the end of the reporting period completion. Other comments shall then be made.

TRANSCRIPTION

[illegible]

U.S.	A NOTWORTHY SYMBIONE	AN	IN THE	OUR
U.S.	SYMBIONE	ADMIT	GRATER	CODE
			REMARKS	LETTER

- 29. GOAL SETTING AND ACHIEVEMENT**
- A. PURSUES PROFESSIONAL DEVELOPMENT IN POSITIVE AND FORCEFUL MANNER**
 - B. IS MEETING PROFESSIONAL QUALIFICATION STANDARDS IN TIMELY FASHION**
 - C. DEMONSTRATES HIGH STANDARDS OF EXCELLENCE IN PERSONAL ACHIEVEMENTS**
 - D. DEFINES REALISTIC GOALS**
 - E. DEVELOPS PLANS AND PRIORITIES**
 - F. INVOLVES SUBORDINATES IN PLANNING**
 - G. RESPONDS POSITIVELY TO CHANGING CIRCUMSTANCES**
 - H. EFFECTIVELY ACHIEVES GOALS**
- NOTE FOR COMMANDERS, COMMANDING OFFICERS AND OFFICERS-IN-CHARGE, THE FOLLOWING CONSIDERATIONS IN ADDITION TO THE ABOVE WILL BE MADE AS APPROPRIATE**
- I. DEVELOPS UNIT GOALS CONSISTENT WITH THE OBJECTIVES OF HIGHER AUTHORITY**
 - J. ESTABLISHES REALISTIC PRIORITIES AMONG UNIT GOALS AND ACHIEVES A PROPER BALANCE OF EFFORT EXPENDED BETWEEN SHORT TERM AND LONG TERM OBJECTIVES**
 - K. EFFECTIVELY UTILIZES AVAILABLE RESOURCES IN UNIT GOAL ATTAINMENT**

30. SUBORDINATE MANAGEMENT AND DEVELOPMENT
- A. ESTABLISHES EQUITABLE AND CONSISTENT POLICIES.
 - B. CONSIDERS THE IDEAS AND SUGGESTIONS OF SUBORDINATES.
 - C. IS EFFECTIVE IN PERSONAL SUPERVISION.
 - D. DELEGATES AUTHORITY COMMENSURATE WITH SUBORDINATES' CAPABILITIES.
 - E. UNDERSTANDS, USES AND ENCOURAGES EFFECTIVE PRINCIPLES OF LEADERSHIP.
 - F. DEMONSTRATES THE ABILITY TO INSPIRE AND LEAD.
 - G. DISPLAYS INTEGRITY AND MORAL COURAGE.
 - H. ACHIEVES POSITIVE RETENTION RESULTS.
 - I. ENSURE PROPER POSITION MANAGEMENT, I.E. ECONOMIC STRUCTURING OF THE ORGANIZATION.
 - J. ENSURE CIVILIAN POSITIONS ARE PROPERLY CLASSIFIED.
 - 1. COMPLETE AND ACCURATE, BUT UNFILED, POSITIVE DESCRIPTIONS THAT HAVE BEEN SUBMITTED TO PROPER AGENCY FOR CLASSIFICATION AND HAVE BEEN PERIODICALLY REVIEWED AS REQUIRED BY REGULATIONS PROMPT ACTION TO ELIMINATE ANY OVERGRADED SITUATIONS.
- NOTE FOR COMMANDERS COMMANDING OFFICERS AND OFFICERS IN CHARGE: THE FOLLOWING CONSIDERATIONS IN ADDITION TO THE ABOVE WILL BE REQUIRED FOR APPROPRIATE EVALUATION.
- K. PLACES SUBORDINATES IN CHALLENGING SITUATIONS TO DEVELOP THEIR ABILITIES.
 - L. EFFECTIVELY ACHIEVES PERSONNEL READINESS OBJECTIVES INCLUDING RETENTION.
 - M. HAS DEVELOPED/MAINTAINED EFFECTIVE TRAINING AND PROFESSIONAL QUALIFICATION PROGRAMS WHICH HAVE RESULTED IN HIGH LEVEL OF READINESS AMONG ALL PERSONNEL INCLUDING NAVAL RESERVE ASSIGNMENT PERSONNEL.

Figure 9 (Navy)

68

NAVPERS 1610-1 REV 11-70 BALB

MAKES THIS OFFICER'S SPECIALTY (Formal) and provides a basis for evaluation in each specialty and area by writing appropriate check from the scale and place the corresponding code letter in the UCR code letter box.

SPECIALTY CODE LETTERS									
N	A	C	D	E	F	G	H	I	
NAVAL					MARINE		LAND		
NAVAL					MARINE		LAND		

SPECIALTY CODE LETTERS	
MANAGEMENT	20
ADMINISTRATION	20
OTHER SPECIALTY	20

61 62 63 (Leave blank on UCR form)

SUBSPECIALTY (If appropriate)

SUBSPECIALTY CODE
(Enter subspecialty code from listed UCR list)

SUBSPECIALTY REQUIRED BY BALLET

SUBSPECIALTY UTILIZATION

(Indicate whether officer is subspecialty code)

(Indicate degree of utilization of subspecialty)

64 ☐ YES 65 ☐ NO 66 ☐ PARTIAL 67 ☐ NONE

SUBSPECIALTY PERFORMANCE (Indicate whether officer is subspecialty code) (Indicate whether officer is subspecialty code) (Indicate whether officer is subspecialty code)

OUR CODE LETTER

INDICATE CONTRIBUTION (Indicate the officer's performance and contribution to the unit and the mission and completion of his assigned tasks)

EVALUATION (Indicate evaluation by placing an "X" in appropriate box and provide supporting comments in the space provided below each box)

UNUSUAL DISTRIBUTION (Indicate the need for all reports of this kind and comments) (Indicate the need for all reports of this kind and comments)

RANGE

	NOT OBS	HIGH	MID	LOW
61. EVALUATION				
62. SUMMARY				

TREND OF PERFORMANCE (Indicate trend)

63 ☐ First Report 64 ☐ Continued 65 ☐ Improving 66 ☐ Deteriorating

DESIRABILITY (Indicate your estimate of the officer's desirability for assignment in the following category of assignment. Select the appropriate code letter, corresponding to the relative desirability, and place it in the UCR code letter box.)

UCH CODE LETTER	DESIRABILITY
67 <input type="checkbox"/> Command	NA / NA
68 <input type="checkbox"/> Operations	NA / NA
69 <input type="checkbox"/> Staff	NA / NA
70 <input type="checkbox"/> Foreign Base	NA / NA

RECOMMENDATION FOR PROMOTION (Indicate the officer's recommendation for promotion) (Indicate the officer's recommendation for promotion)

IF THIS OFFICER IS RECOMMENDED FOR EARLY PROMOTION (Indicate the officer's recommendation for early promotion) (Indicate the officer's recommendation for early promotion)

71 ☐ Early Promotion 72 ☐ Regular Promotion 73 ☐ No Promotion 74 ☐ Number Recommendation 75 ☐ Reasoning

PERSONAL TRAITS (Indicate the officer's personal traits) (Indicate the officer's personal traits)

76 ☐ Judgment (Sound reasoning, logical conclusions) 77 ☐ Imagination (Richness of ideas, originality, creative planning) 78 ☐ Analytical ability (Logical discrimination between assumption and fact) 79 ☐ Personal behavior (Character, reliability and public behavior) 80 ☐ Forcefulness (Firmness and persistence, performance of duty) 81 ☐ Military bearing (Smartness of appearance, correctness of uniform, physical fitness, adherence to weight standards must be taken into consideration)

(LEAVE BLANK ON UCR FORM)

76 ☐ 77 ☐ 78 ☐ 79 ☐

82 SIGNATURE (Signature should be obtained from the officer that this has been done)

77 ☐ None Reason (Signature) 78 ☐ Yes 79 ☐ No

80/81 STATEMENT (The officer shall indicate if he does not desire to enter a statement or a statement is attached)

82 SIGNATURE OF OFFICER EVALUATED (NAV SUPP/NET 1611.12 form)

83 DATE FORWARDED (Date reporting senior report and forwarded report) 84 INACTIVE NAVAL RESERVE ONLY 85 SIGNATURE OF REPORTING SENIOR

86 DATE FORWARDED (Date regular reporting senior report and forwarded report) 87 SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT AND CONCURRENT/SPECIAL REPORT

88 COMMENTS (Provide comments on the officer's performance and contribution to the unit and the mission and completion of his assigned tasks) (Provide comments on the officer's performance and contribution to the unit and the mission and completion of his assigned tasks)

Figure 9

than a cursory attempt to adequately rate a large number of subordinates by use of NAVPERS 1611/1W.

A laudable philosophy in the Navy system is the attempt to separate performance objectively from personality. As regards "Personal Traits" on the Report on the Fitness of Officers, Section 5-18 of BUPERSINST 1611.12E states specifically:

"5-18 Sections 67, 68, 69, 70, 71 and 72. Although these sections of the evaluation system contribute to a degree to the overall evaluation (section 51), the evaluation of personal traits is primarily subjective in nature. Therefore, marks assigned are envisioned as primarily "detailing" tools, and have been separated from the objective and overall evaluation sections of the report form."

Two aspects of BUPERSINST 1611.12E are readily applicable to the NOAA Corps. Sections 5-9 and 6-2b could readily serve as a model for appraisal of NOAA Corps officers on EEO performance. Likewise, Section 4-11n, which is concerned with physical fitness and prescribed weight standards as they relate to facets of leadership, is as pertinent to the NOAA Corps officer as to the Naval Officer (see Appendix A).

As a final note, the Navy ascribes to the concept of "management-by-objectives" although this is not apparent on the Navy forms. Section 4-11d of BUPERSINST 1611.12E states that "...reporting seniors should seek to establish with each and every subordinate mutually understood, finite objectives for which the subordinate will be held accountable. Subsequent fitness reports should then contain comment upon the degree of attainment of each objective."

G. UNITED STATES PUBLIC HEALTH SERVICE COMMISSIONED
OFFICER'S EFFICIENCY AND PROGRESS REPORT

The United States Public Health Service Commissioned Officers' Efficiency and Progress Report, Form PHS-838 (Rev. 6-78) as quoted on the form is used "in documenting an officer's assignments, duties, and proficiencies, which in turn enables the officer and the Service to know the officer's strengths and weaknesses, to evaluate and improve his/her performance, and to identify the steps necessary to further his/her professional growth and career development. Evaluations obtained from this form may be employed in various personnel actions such as promotions and assignments."

Instructions for PHS-838 are found on the form itself, in Manual Circular-Commissioned Corps Personnel PHS No. 279 dated 9/1/78, and in Personnel INSTRUCTION 1 of Subchapter CC 25.1 of the HEW Personnel Manual.

The evaluation of an officer by Form PHS-838 is accomplished by use of a forced-choice rating scale (Section II) a behaviorally anchored rating scale (Section III), seven directed questions requiring specific narrative comment or description, and a comparison of the rated officer with officers of the same grade doing similar work (Section V).

By use of both a forced-choice scale and a behaviorally anchored rating scale, the Public Health Service has instituted a curious mixture of the old and the new. Cozan claimed that forced-choice scales were found to be no more

COMMISSIONED OFFICERS' EFFICIENCY AND PROGRESS REPORT

PHS-638
(REV. 6-78)

Refer to Commissioned Corps Personnel Manual
Sub-Chapter CC 25.1

SECTION I.—TO BE FILLED OUT BY OFFICER REPORTED ON

NAME (LAST)		(FIRST)	(MIDDLE INITIAL)	PHS SERIAL NO.	TYPE OF REPORT 1 <input type="checkbox"/> Annual 2 <input type="checkbox"/> Transfer 3 <input type="checkbox"/> Promotion 4 <input type="checkbox"/> 3-yr. No Review 5 <input type="checkbox"/> Retirement 6 <input type="checkbox"/> Other		
STATION DURING PERIOD COVERED BY REPORT		HEALTH AGENCY 1 <input type="checkbox"/> OASH 2 <input type="checkbox"/> ADAMHA		3 <input type="checkbox"/> CDC 4 <input type="checkbox"/> FDA 5 <input type="checkbox"/> HRA	6 <input type="checkbox"/> HSA 7 <input type="checkbox"/> NIH 8 <input type="checkbox"/> OTHER	DATE REPORTED TO STATION (Mo. and Yr.)	DATE OF REPORT
CORPS 1 <input type="checkbox"/> Regular 2 <input type="checkbox"/> Reserve	CATEGORY 1 <input type="checkbox"/> Medical 2 <input type="checkbox"/> Dental	3 <input type="checkbox"/> Nurse 4 <input type="checkbox"/> Engineer 5 <input type="checkbox"/> Scientist	6 <input type="checkbox"/> Sanitarian 7 <input type="checkbox"/> Veterinarian 8 <input type="checkbox"/> Pharmacist	9 <input type="checkbox"/> Dentist 10 <input type="checkbox"/> Therapist 11 <input type="checkbox"/> Health Services Officer	CURRENT PAY GRADE 1 <input type="checkbox"/> JA 2 <input type="checkbox"/> A 3 <input type="checkbox"/> SA 4 <input type="checkbox"/> Full 5 <input type="checkbox"/> Sen 6 <input type="checkbox"/> Dr	PERMANENT GRADE 1 <input type="checkbox"/> JA 2 <input type="checkbox"/> A 3 <input type="checkbox"/> SA 4 <input type="checkbox"/> Full 5 <input type="checkbox"/> Sen 6 <input type="checkbox"/> Dr	

Type of Present Duty (Check the ONE type of work in which you have spent the major part of your time during the period covered by this report. If time has been split between two types of work, check the ONE in which you have spent 51% or more time.)

1 ☐ Public Health 2 ☐ Research 3 ☐ Medical Care 4 ☐ Facet, Personnel, Teaching, and other

In this type of work were you— (Check only ONE)
1 ☐ engaged in administrative activities 2 ☐ engaged in nonadministrative activities 3 ☐ in uniform or readiness 4 ☐ in out-of-service training

BRIEF DESCRIPTION OF DUTIES DURING PERIOD COVERED BY THIS REPORT.

INCLUDE BILLET/ORGANIZATION TITLE:

BILLET NUMBER:

WHAT ARE YOUR PREFERENCES REGARDING YOUR ASSIGNMENT DURING THE NEXT YEAR? (If other, be explicit.)

- 1 ☐ Same
2 ☐ Other

SECTION II.—TO BE FILLED OUT BY REPORTING OFFICER

In this section of the report you evaluate the officer by selecting from sets of four phrases the one in each set which is most descriptive and the one which is least descriptive. This method of describing an officer by the use of standardized phrases has been found in empirical studies to be a very effective measure of the performance of officers in the Public Health Service. In order for this section to be useful, however, it is imperative that you follow carefully the directions for completing this section.

In each block of four phrases below, select the one phrase most descriptive of the officer and circle the number corresponding to this

phrase in the column labeled "Most." Then from the three remaining statements in the same block select the phrase least descriptive of the officer and circle the number corresponding to this phrase in the column labeled "Least." (The numbers serve merely to identify your choices.) Although some of the phrases are repeated from one block to another, you should consider each block independently of the other blocks and not try to make your evaluations consistent. Be sure, however, to make a "Most" and "Least" choice in each block. In some you may rightly feel that none of the phrases applies very well to the officer; nevertheless, make a choice among them, circling only one "Most" and one "Least" description. If you wish to comment on any of the evaluations, feel free to do so in Section IV, Item 7 of the report.

In the example at the right, "Cooperative" was felt to be the description which best fitted the officer, so the 2 was circled in the column labeled "Most." Perhaps none of the phrases described the officer very well, but "Cooperative" was felt to describe better than the other three. "Excitable" was felt to be least descriptive, so the 4 was circled in the column labeled "Least."

Businesslike	1	2	3	4
Cooperative	1	2	3	4
Inclined to be lazy	1	2	3	4
Excitable	1	2	3	4

Easily changes ideas	1	2	3	4
Fails to demonstrate originality	1	2	3	4
Liked by all over or under his/her	1	2	3	4
Moderate but not retiring	1	2	3	4
Fails to work for the best interest of all	1	2	3	4
Has a high degree of initiative	1	2	3	4
Never makes excuses for mistakes	1	2	3	4
Slow in accomplishing work	1	2	3	4
Lacks ability to inspire confidence of coworkers	1	2	3	4
Easilygoing	1	2	3	4
Type of person everyone likes for a friend	1	2	3	4
Has a quiet, dignified bearing	1	2	3	4
Doesn't assume responsibility	1	2	3	4
Doesn't get along with people	1	2	3	4
Demanding strict discipline at all times	1	2	3	4
Has a way of demanding respect without causing slightest resentment	1	2	3	4
Easilygoing	1	2	3	4
Commands respect by actions	1	2	3	4
Gets people to work with and for him/her because of his/her personality	1	2	3	4
Has little desire to learn or to improve himself/herself	1	2	3	4
It is necessary to supervise his/her work closely	1	2	3	4
Well-grounded in all phases of PHS life	1	2	3	4
Doesn't assume responsibility	1	2	3	4
Doesn't get along with people	1	2	3	4
Coworkers know that they can rely on his/her judgment	1	2	3	4

--	--	--	--

Do Not Mark These Boxes

(NOTE: See Privacy Act Statement on Page 4.)

Figure 10 (PHS)

Do Not Mark Box

SECTION III.—TO BE FILLED OUT BY RATING OFFICER

For each factor to be rated, select the behavior description along the 10-point scale which most nearly describes the officer. Decide which of the two numbers above the behavior description represents the more accurate evaluation of the officer and circle this number. For example, in evaluating the officer on factor (h), interest in work, you might feel that the phrase, "Sometimes gives the impression of lack of enthusiasm," is most descriptive. If you think the officer should be placed closer to "Appears bored with work," than to "Interested in present work," circle the 3. An officer may have higher ratings on some factors than on others, rate each factor without reference to any other.

Do Not Mark Example

Factor	1	2	3	4	5	6	7	8	9	10
EXAMPLE: Interest in work.	Appears bored with work.		Sometimes gives the impression of lack of enthusiasm.		Interested in present work.		Usually engrossed in work.		Finds work fascinating and stimulating.	
(a) Ability to meet situations without emotional upset.	Noticeable difficulty in maintaining self-control even in ordinary situations.	1	Inclined to become upset under somewhat trying circumstances.	2	Maintains self-control except under difficult conditions.	3	Adapts well to changing situations.	4	Conducts self admirably even under very difficult circumstances.	5
(b) Ability to get along with others.	Tends to irritate and antagonize people.	1	Occasionally causes unpleasant situations.	2	Neither causes any disputes nor adds anything with his/her personality.	3	Very pleasant disposition makes favorable impression on others.	4	Usually helpful and courteous, but a noticeable good effect on the work of the group.	5
(c) Ability to act on own initiative.	Very limited in ability to carry out assignments independently.	1	Prefers to have work closely supervised.	2	Acts on own initiative in usual activities.	3	Frequently acts on own in handling new situations as well as usual ones.	4	Capable of accepting any responsibility.	5
(d) Ability to think clearly and arrive at logical conclusions.	Erratic in ability to reach logical conclusions.	1	Has some difficulty in analyzing a variety of facts in order to arrive at sound conclusions.	2	Tries to be logical in approach to problems.	3	Shows ability to discriminate adequately between relevant and irrelevant details in arriving at sound conclusions.	4	Almost invariably arrives at correct conclusions even in the most difficult problems.	5
(e) Diligence and dependability in performing assigned work.	Frequently does not work hard or long enough or has "forgotten" to carry out assignments.	1	Some supervision necessary to get work done.	2	Works fairly steadily at assigned tasks.	3	Can be depended on to stick to a job until it is finished.	4	Puts every possible effort into work.	5
(f) Ability to plan and organize work.	Lacks of his/her work shows evidence of lack of prior planning.	1	Planning and organization limited to established procedures.	2	Plans and organizes most aspects of his/her work.	3	Develops a systematic plan of organization when attacking a given problem.	4	Highly efficient in planning and organizing work.	5
(g) Ability to express self orally and in writing.	Vague and ambiguous in expression of ideas.	1	Ability to express oneself is somewhat limited.	2	Expresses self well enough to be understood.	3	Shows organization and consistency in expression of ideas.	4	Unusual clarity and lucidity of expression.	5
(h) Interest in work.	Appears bored with work.	1	Sometimes gives the impression of lack of enthusiasm.	2	Interested in present work.	3	Usually engrossed in work.	4	Finds work fascinating and stimulating.	5
(i) Ability to act as a supervisor.	Performance of his/her subordinates is hampered by his/her lack of leadership and direction.	1	Supervisory ability is adequate in some respects, but lacking in others.	2	Supervises work of subordinates in a satisfactory manner.	3	Supervises in such a way as to maintain a smoothly functioning work group.	4	An effective supervisor who displays considerable talent in handling problems of supervision and leadership.	5
(j) Knowledge of profession.	Lack of knowledge makes it difficult for officer to handle every aspect of work.	1	Performance is sometimes hampered by insufficient knowledge.	2	Adequate professional training and experience for job.	3	Well informed in his/her field.	4	Professional based and detailed knowledge of profession.	5
(k) Growth of professional ability and value to the Service.	Has shown little or no improvement in professional ability.	1	Has been a bit slow in adapting to progress.	2	Has made gradual professional improvement.	3	Useful to the Service in many types of assignments due to professional growth and development.	4	Has notably increased in value to the Service through increased competence in field and broadened capabilities.	5

Figure 10

SECTION IV.—TO BE FILLED OUT BY RATING OFFICER

1. Are you satisfied to have this officer?

1 ☐ Yes 2 ☐ No Explain:

2. Does this officer have any defects or handicaps which might limit his/her effectiveness?

1 ☐ Yes 2 ☐ No Describe:

3. Does this officer have any characteristics that make him/her unusually effective?

1 ☐ Yes 2 ☐ No Describe:

4. Is this officer limited to one specialty within his/her profession?

1 ☐ Yes 2 ☐ No Comment:

5. Do you think this officer's assignment adequately utilizes his/her capabilities?

1 ☐ Yes 2 ☐ No Comment:

6. What are your recommendations concerning the planning of this officer's career?

1 ☐ Further training. Explain:2 ☐ Progressively responsible duties in present type of work. Explain:3 ☐ Varied assignments in present type of work in order to make a better rounded officer. Explain:4 ☐ Change of work area or professional specialty. Explain:

7. Remarks (Comment concerning any items and points not covered. Use comment space Page 4 if necessary)

☐ I DO☐ I DO NOT

Recommend the promotion of this officer, if otherwise eligible.

SECTION V.—TO BE FILLED OUT BY RATING OFFICER WITH ACKNOWLEDGEMENT SIGNATURE OF OFFICER BEING RATED

Rate the officer on effectiveness in his/her present job in comparison with officers of the same grade who are doing similar work. Select the behavior description along the 10-point scale which most nearly describes the officer. Decide which of the two numbers above the behavior description represents the more accurate evaluation of the officer and circle this number.

1	2	3	4	5	6	7	8	9	10	
Work performance is unsatisfactory	Work effectiveness is somewhat limited	Doing a good job	Performs very capably	Superior in every way	DO NOT MARK BOX					

(Do not try to discuss Section II.)

SIGNATURE OF OFFICER BEING RATED ACKNOWLEDG-
ING DISCUSSION AND RECEIPT OF COPY OF COEPR.

DATE

Are you the officer's immediate supervisor?

1 ☐ Yes
2 ☐ No If no, explain your relationship to the officer.

How long have you known this officer?

1 ☐ Less than one year
2 ☐ One year or longer

NAME OF RATING OFFICER (TYPE OR PRINT)

PMS SERIAL NO.

CORPS

1 ☐ PMS Regular2 ☐ PMS Reserve (Active Duty)3 ☐ Civil Service Coast Guard Other

CATEGORY (FOR PMS ACTIVE DUTY OFFICERS)

1 ☐ Medical 3 ☐ Nurse 6 ☐ Sanitation 9 ☐ Dentist
2 ☐ Dental 4 ☐ Engineer 7 ☐ Veterinarian 10 ☐ Therapist
5 ☐ Scientist 8 ☐ Pharmacist 11 ☐ Health Services Officer

CURRENT PAY GRADE (FOR PMS ACTIVE DUTY OFFICERS)

1 ☐ JA 4 ☐ Full 7 ☐ Asst SG
2 ☐ A 5 ☐ Sen 8 ☐ Asst SG
3 ☐ SA 6 ☐ Dr

POSITION TITLE

Figure 10

SECTION VI.—TO BE FILLED OUT BY REVIEWING OFFICER

Indicate by section and item number any disagreements with report by reporting officer and give reasons.

NAME OF REVIEWING OFFICER (TYPE OR PRINT)		PHS SERIAL NO.	CORPS 1 <input type="checkbox"/> PHS Regular	2 <input type="checkbox"/> PHS RESERVE (Active duty)	3 <input type="checkbox"/> Civil Service Coast Guard Other
CATEGORY (FOR PHS ACTIVE DUTY OFFICERS)			CURRENT PAY GRADE (FOR PHS ACTIVE DUTY OFFICERS)		POSITION TITLE
1 <input type="checkbox"/> Medical	3 <input type="checkbox"/> Nurse	5 <input type="checkbox"/> Sanitarian	9 <input type="checkbox"/> Dietitian	1 <input type="checkbox"/> JA	4 <input type="checkbox"/> Full
2 <input type="checkbox"/> Dental	4 <input type="checkbox"/> Engineer	7 <input type="checkbox"/> Veterinarian	10 <input type="checkbox"/> Therapist	2 <input type="checkbox"/> A	5 <input type="checkbox"/> Sen
	5 <input type="checkbox"/> Scientist	8 <input type="checkbox"/> Pharmacist	11 <input type="checkbox"/> Health Services Officer	3 <input type="checkbox"/> SA	6 <input type="checkbox"/> Or
				7 <input type="checkbox"/> Asst SG	8 <input type="checkbox"/> Asst SG

Space For Comments by Additional Officers Reviewing Reports

SECTION VII.—TO BE FILLED OUT BY ALL OFFICERS

	ROUTING RECORD	DATE RECEIVED	DATE RELEASED	NAME OF OFFICER
1	RATING OFFICER			
2	REVIEWING OFFICER			
3				
4	PROGRAM REVIEW			
5	HEALTH AGENCY REVIEW			
6				
7				

Privacy Act Notice for PHS Commissioned Officers' Efficiency and Progress Report (COEPR) (PHS-838)
Records Systems HEW OASH/OM 0002.—0007.

General

This statement is provided pursuant to the Privacy Act of 1974 (P.L. 93-579) for officers being evaluated as to their performance in the PHS Commissioned Corps.

Authority for Collection of Information

PHS Act Section 201 et seq. (42 USC 202 et seq.)

Principal Purposes and Routine Uses

Section 1 of the COEPR, to be completed by the officer, is used in conjunction with the remaining portion of the COEPR, to be completed by others, in documenting an officer's assignments, duties, and proficiencies, which in turn enables the officer and the Service to know the officer's strengths and weaknesses, to evaluate and improve his/her performance, and to identify the steps necessary to further his/her professional growth and career development. Evaluations obtained from this form may be employed in various personnel actions such as promotions and assignments.

Except as indicated below, the information you provide on this form will not be disclosed outside this Department without your written consent:

To prospective employers or other organizations at the request of the individual; to other Federal agencies in the event of appointment of former officers; to Department of Defense in event of national emergency, Bureau of Prisons (Department of Justice), Coast Guard

(Department of Transportation), and Environmental Protection Agency may obtain copies of personnel documents relating to commissioned officer assignments to those agencies. Records may be disclosed to individuals and organizations deemed qualified by the Secretary to carry out specific research solely for the purpose of carrying out such research (45 CFR, Part 5b, Appendix B, Item 101). Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his/her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his/her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

Effects of Nondisclosure

Completion of Section 1 of COEPR is voluntary; however, failure to provide the information called for in Section 1 of COEPR will result in an evaluation for promotion, assignment, and other purposes not being based on the information you have been asked to supply in that section. This will result in an officer's assignment preferences not being given due consideration. It will also impede the processing of the COEPR and other actions based thereon.

valid than graphic rating scales as long ago as 1955.

Cozan [Ref. 67] goes on to quote N.R.F. Maier, author of Psychology in Industry as saying that the forced-choice method is difficult to implement because it entails:

- Trained technicians to develop the performance scale.
- A different collection of tetrads for each job or occupational group.
- A fair agreement on the criteria of success and failure.
- Willingness on the part of supervisors to rate their employees when they cannot even tell whether they are giving one person a more favorable rating than another.

Another major problem with forced-choice tetrads is the inability to conduct meaningful discussions between the rater and rated officer. In apparent contradiction to the spirit of Form PHS 838 as regards enabling "the officer and the Service to know the officer's strengths and weaknesses, to evaluate and improve his/her performance, and to identify the steps necessary to further his/her professional growth and career development," is the specific statement in the rated officer's signature block, "(Do not try to discuss Section II)."

On the other hand the behaviorally anchored rating scale forces open discussion as do the specific questions of Section IV. The format of the questions in Section IV is notable for its clarity. The overall effectiveness rating in Section V is also quite clear. Although an officer is being compared to others of the same grade who are doing

similar work, no forced distribution is required in the effectiveness rating.

V. THE NOAA CORPS FITNESS REPORT SYSTEM

A. BACKGROUND

NOAA Form 56-6, Fitness Report for Commissioned Officers, is the primary means of appraising officers within the NOAA Corps. Instructions for the use of this form are found in NOAA Directives Manual, Chapter 56, Section 06, (NDM 56-06) (See Appendix D) dated 1-14-72, on a tear sheet entitled INSTRUCTIONS (see Appendix D) attached to Form 56-6, and in blocks 7, 8, 9, 10, and 11 of Form 56-6. The present form has been in existence (with some minor modifications to the format and instructions having occurred) since Dec. 1, 1967. Information concerning an individual officer's fitness is also gleaned through correspondence from superiors or outside sources concerning performance, through NOAA Form 56-25, Service Report, (See Figure 12), and on some occasions via personal communication.

The majority of officer fitness reports within NOAA follow the same general path. This path has the following milestones. Milestone 1: observation and evaluation of a subordinate officer by the rating officer. Milestone 2: writing of the fitness report by the rating officer. Milestone 3: a conference with the rated officer at which the subordinate is shown his fitness report and discusses the fitness report with the rating officer. Milestone 4: the subordinate signs the fitness report (a signature does not

NOAA FORM 56-6 (4-78)		U.S. DEPARTMENT OF COMMERCE NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION		1. REPORT PERIOD		2. OCCASION FOR REPORT					
FITNESS REPORT FOR COMMISSIONED OFFICERS				FROM		<input type="checkbox"/> ANNUAL <input type="checkbox"/> SEMIANNUAL <input type="checkbox"/> PROMOTION <input type="checkbox"/> TRANSFER OF RATED OFFICER <input type="checkbox"/> TRANSFER OF RATER <input type="checkbox"/> OTHER _____					
				TO							
3. LAST NAME (All Caps) - FIRST NAME - MIDDLE INITIAL				4. GRADE		5. REPORT BASED ON:					
6. ORGANIZATION AND LOCATION						<input type="checkbox"/> DAILY CONTACT <input type="checkbox"/> FREQUENT OBSERVATION <input type="checkbox"/> INFREQUENT OBSERVATION <input type="checkbox"/> REPORTS AND RECORDS ONLY					
7. DUTIES OF RATED OFFICER (Include major collateral duties and number of months in duty. Indicate if substantial time was in training.)											
8. GENERAL INSTRUCTIONS											
(When possible, evaluate the officer in comparison with other NOAA officers of similar grade and length of service.)											
Area	Factors to be considered in evaluating the officer being rated	"X" one box for each rating category									
		OUT- STANDING	EXCEL- LENT	VERY GOOD	SATIS- FACTORY	POOR					
Job Ability (See Item 11)	Rapidity with which knowledge is acquired, new concepts are grasped and broad assignment areas are comprehended.										
Job Accomplishment (See Item 11)	Quality and quantity of output. The efficiency and resourcefulness with which goals are accomplished. Utilization of personnel, money and materials.										
Leadership	Ability to organize, obtain the cooperation of others, and to direct their efforts effectively. Ability to inspire confidence in superiors and subordinates.										
Judgement	Ability to develop correct and logical conclusions. Ability to act rationally and with dispatch within limits of authority assigned.										
Initiative	Willingness to seek out and accept responsibilities or other growth opportunities. Ability to introduce and develop worthwhile ideas.										
Reliability	Dependability and thoroughness exhibited in completing a job and meeting responsibilities.										
Human Relations	Ability and willingness to work in harmony with superiors, contemporaries, and the general public.										
Loyalty	Faithfulness and allegiance to supervisors, subordinates, the service and the nation.										
Self-Expression	Ability to communicate in a clear, concise and organized manner.	"X" one for each skill	Writing Skills								
			Oral Skills								
Officer Bearing	Military carriage, correctness of uniform, smartness of appearance, physical fitness, service aptitude.										
FOR OFFICE USE ONLY											
9. Desirability (Indicate your attitude towards having this officer under your command for each of the following types of assignments.)											
TYPE OF ASSIGNMENT	PARTICULARLY DESIRE	PREFER TO MOST	PLEASED TO HAVE	SATISFIED TO HAVE	PREFER NOT TO HAVE (Adverse)	NOT OBSERVED					
Operational											
Staff											
Special											

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Figure 11

10. OTHER FACTORS - Furnish detailed comments on any special skills and/or characteristics which you consider are exceptionally strong or weak points of this officer. Examples would be skills or characteristics relating to personal behavior, shiphandling and seamanship, inter-government relations, cost consciousness, physical endurance and emotional stability.

11. GENERAL COMMENTS - Give your general opinion of this officer. Include any information which may be of value in making assignments, special awards, and promotion. Make an explicit statement on this officer's EEO performance. **NOTE:** If "outstanding" is given for either "JOB ABILITY" or "JOB ACCOMPLISHMENT", under Item 8, explain why the officer deserves this rating. Also, explain all "poor" (adverse) ratings.

Officer shipboard training workbook _____ % complete. Officer (is, is not) a qualified OOD Underway.

I (consider, do not consider) this officer's progress satisfactory, and recommend (retention in, separation from) the NOAA Corps.

12. A COPY HAS BEEN FORWARDED THROUGH CHANNELS. <input type="checkbox"/> YES <input type="checkbox"/> NO				
13. TREND OF PERFORMANCE: <input type="checkbox"/> FIRST REPORT <input type="checkbox"/> IMPROVING <input type="checkbox"/> CONSISTENT <input type="checkbox"/> DECLINING				
14. EDUCATIONAL POTENTIAL - Do you believe full-time graduate training would be beneficial to both NOAA and the officer at this time? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NO OPINION				
15.	DATE	GRADE	SIGNATURE	TITLE/POSITION
RATING OFFICER				
REPORTING OFFICER				
RATED OFFICER				

NOAA FORM 56-6

Figure 11

imply agreement, only validates that the rated officer has seen his report). Milestone 5: sending of the original fitness report to Chief, Commissioned Personnel, NCI, and routing copies through appropriate channels. Milestone 6: the annual meeting of the NOAA Corps Officer Personnel Board (OPB) at which all officer fitness reports received by NCI are reviewed and appropriate personnel actions based on content of the reports (coupled with content of prior reports for individual rated officers) are implemented. Milestone 7: filing of the report in the rated officer's permanent personnel folder. It is noted that as regards Milestones 3 and 4, a rebuttal procedure for adverse fitness reports exists and is documented in NDM 56-06.

B. PURPOSE OF THE NOAA CORPS FITNESS REPORT

The purpose of NOAA Form 56-6 as stated in NDM 56-06-2d is "...these reports are the basis in selecting officers for promotion, assignment, and separation." In the instructions included on the tear sheet attached to Form 56-6, it is stated that "This report is used with previous fitness reports for the purposes of assignment-making, career development, and promotion." Taking promotion and separation as opposite sides of the same coin, leaves three basic purported purposes for the Fitness Report System: promotion, assignment, and career development.

A cross check in the summer of 1978 with members of the NOAA Corps Officer Personnel Board and the NOAA Corps Officer Assignment Board (OAB) indicates that the primary use of Form 56-6 is selection for promotion (either accelerated, on time, decelerated, or separation). As far as use in career development or for assignment, the OAB members indicate that only on rare occurrences are fitness reports referred to in the assignment process. This is not to say that the NOAA Corps has not made efforts to enhance the career development of its officers or to carry out (as far as practicable within the needs and constraints of the service) an enlightened and equitable assignment process. However, it is saying that Form 56-6 in its present format has had seemingly little impact in the career development and assignment processes. (See Chapter VI).

C. FORMAT OF FITNESS REPORT FOR COMMISSIONED OFFICERS

NOAA Form 56-6 in its present format consists of fifteen blocks. See Figure 11. These are:

- 1) REPORT PERIOD
- 2) OCCASION FOR REPORT
- 3) NAME
- 4) GRADE
- 5) REPORT BASED ON:
- 6) ORGANIZATION AND LOCATION
- 7) DUTIES OF RATED OFFICER
- 8) GENERAL INSTRUCTIONS
(a 100 point graphic rating scale consisting of job performance measures and personal traits)
- 9) DESIRABILITY
- 10) OTHER FACTORS (a narrative block)
- 11) GENERAL COMMENTS (a narrative block)

- 12) A COPY HAS BEEN FORWARDED THROUGH CHANNELS
- 13) TREND OF PERFORMANCE
- 14) EDUCATIONAL POTENTIAL
- 15) RATING OFFICER, REPORTING OFFICER, RATED OFFICER
(signature blocks)

By design and use, the primary rating mechanisms of Form 56-6 are the graphic rating scale of Block 8, and the narrative sections of Blocks 10 and 11. Blocks 9 and 13 can be used as an aid in overall evaluation of an officer's potential, but because of differing rater standards in the case of Block 9 (see Chapter VI, Results of Questionnaire), it is obvious that numerous rating officers have a unique view of the distribution that is to be followed for grading desirability. In absence of established guidelines, this block is relatively worthless in any but negative instances of "Prefer not to have." Block 13, likewise, is of probable little value in overall evaluation except in the negative instance of declining performance. A cautionary note as regards Block 13 is in order if "First Report" is checked. An analysis of the writer's "Fitness Reports" indicates that "First Reports" tend to be marked significantly lower than subsequent reports from the same rater. The writer's grade is 66.7 on seven "first reports" vice 75.7 on six subsequent reports. Whether this is a personal phenomena or a NOAA Corps wide phenomena the writer has no means of ascertaining without access to the NOAA Corps personnel files. However, it would appear that the officer with a history of numerous first reports could be at a significant disadvantage to the

officer who has been fortunate enough to have spent the majority of his career in a relatively stable environment.

The value of the graphic rating scale of Block 8 is enhanced by the requirement under Item 8 of the tear sheet instructions that the expected distribution of grades for all NOAA officers is: 5% outstanding, 15% excellent, 60% very good, 15% satisfactory, and 5% poor. The narrative sections serve as areas in which to expand on the various grades given on the graphic rating scale, comment on significant factors not specifically covered by the graphic rating scale, and serve as a vehicle in which to report "critical incidents" in the officer's career during the rating period.

Specific criticisms and recommendations for improvement of the form and further clarification of applicable instructions and directives will be made in Chapter VII.

D. OVERVIEW OF THE NOAA CORPS FITNESS REPORT SYSTEM

The NOAA Corps Fitness Report and appraisal system, as presently practiced, is essentially an evaluative system (as opposed to developmental) which looks to an officer's past performance. The NOAA Corps Officer Personnel Board attempts to interpolate a man's future performance, and thus promotability, from this record of past performance.

Curiously, within Form 56-6, there is a requirement that the rating officer be required to pass judgment on whether

the rated officer should be recommended for "retention in" or "separation from" the NOAA Corps; but, there is no required statement that a rater recommend an officer for accelerated promotion, promotion with peers, or decelerated promotion. Yet, these decisions are the primary purpose of the system. By the same token, there is no requirement that an officer's suitability for command (or increased responsibility) of ships, aircraft, or NOAA programs be commented upon. (Why else would the NOAA Corps continue promoting an individual except to ultimately command?)

These facets of the NOAA Corps Fitness Report System will receive further comments in Chapter VII, Recommendations for Improvement of the NOAA Corps Fitness Report System.

VI. THE NOAA CORPS FITNESS REPORT ATTITUDE QUESTIONNAIRE

A. GENERAL

In late 1978 an attitude questionnaire was sent to all active members of the NOAA Corps concerning the NOAA Corps Fitness Report System. Of approximately 375 questionnaires mailed, 120 were returned for a 32% overall response rate. For each grade the approximate response rate was: Ensign, 11%; Lieutenant (j.g.), 25%; Lieutenant, 43%; Lieutenant Commander, 41%; Commander, 26%; Captain, 27%; and Rear Admiral, 20%.

The questionnaire (see Appendix B) was divided into three parts. The first part allowed differentiation of data by grade, present assignment, or specialty preference area. The categorization of data in this report is by grade. The second part addressed the NOAA Corps Fitness Report System from the standpoint of a rated officer, while the third part addressed the System from the standpoint of a rating officer. Compilation of raw data from the completed questionnaire is included in Appendix B.

In the following tabulation of results and ensuing discussion, each question is reiterated as originally presented on the questionnaire. Where applicable, below each question will be found the distribution of responses as well as the overall mean and median values and the mean and median values for each rank.

B. PART I - RESULTS

1. Rank (Grade)

5	Ensigns
18	Lieutenants (j.g.)
40	Lieutenants
31	Lieutenant Commanders
17	Commanders
8	Captains
1	Rear Admiral

2. Years in NOAA Corps and with similar evaluation processes

0-1+yr	4
2-3+yrs	21
4-5+yrs	26
6-7+yrs	11
8-9+yrs	15
10-11+yrs	10
12-13+yrs	9
14-15+yrs	6
16-17+yrs	3
18-19+yrs	5
20-25+yrs	7
26-30+yrs	3

3. Present assignment

14	a.	hydrographic ship
14	b.	oceanographic ship
4	c.	fisheries ship
6	d.	mobile duty
3	e.	flight
21	f.	laboratory
26	g.	staff
14	h.	management
12	i.	other

Seven responses to #3 were left blank and one response indicated two answers.

4. I consider myself primarily oriented towards

57	a.	operations
22	b.	R and D
14	c.	staff
46	d.	management

Several questionnaires indicated multiple responses to Part I, question 4.

The answers to Part I, taken as a whole, tend to establish the credibility of the results of Part II and Part III. Although the overall response rate was only 32%, the responses received would appear to be representative of the NOAA Corps as a whole.

C. PART II - RESULTS

In the following tabulations, SA=Strongly Agree, A=Agree, N=Neutral, D=Disagree, DS=Disagree Strongly. OA=Overall in the compilation of means and medians.

For computation of means and medians, values of 5=Strongly Agree, 4=Agree, 3=Neutral, 2=Disagree, and 1=Disagree Strongly were utilized. The reader is cautioned that the majority of data collected in the questionnaire is ordinal at best. As such, minor variations in means between the various grades are probably of little significance.

The samples of one Rear Admiral and five Ensigns allow no generalizations to be made regarding these grades. However, the author regards it to be more informative to retain these two grades as separate data groupings than to assimilate them into the next lower and next higher grades respectively.

1a. I believe that the present Fitness Report form is a good one (NOAA Form 56-6),

Responses	SA=5	A=4	N=3	D=2	DS=1
N	6	72	29	13	0
Percentage	5.0%,	60.0%,	24.2%,	10.8%,	0.0%
Means:	OA=3.6, ENS=3.2, LTJG=3.4, LT=3.7, LCDR=3.5, CDR=3.7, CAPT=3.6 RADM=4.0				
Medians:	OA=4, ENS=3, LTJG=4, LT=4, LCDR=4, CDR=4, CAPT=4, RADM=4.				

b. I believe that the present Fitness Report system is a good one (evaluation by a superior, a conference, and then review by the OPB).

Responses	SA=5	A=4	N=3	D=2	DS=1
N	19,	81,	12,	6,	2
Percentage:	15.8%,	67.5%,	10%,	5%,	1.7%
Means:	OA=3.9, ENS=3.4, LTJG=3.9, LT=3.7, LCDR=4.1, CDR=4.2, CAPT=3.9, RADM=4.0.				
Medians:	OA=4, ENS=4, LTJG=4, LT=4, LCDR=4, CDR=4, CAPT=4, RADM=4.				

2. I feel that my Fitness Reports have provided NOAA Headquarters with a true measure of my abilities and worth to NOAA.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	7,	60,	32,	18,	3
Percentage	5.8%,	50%,	26.7%,	15%,	2.5%
Means:	OA=3.4, ENS=2.8, LTJG=3.2, LT=3.4, LCDR=3.7, CDR=3.3, CAPT=3.9, RADM=4.0.				
Medians:	OA=4, ENS=2, LTJG=3, LT=3.5, LCDR=4, CDR=4, CAPT=4, RADM=4.				

3. I feel that my command has provided me with on-going feedback concerning my performance throughout a rating period (i.e., as opposed to evaluation only at prescribed Fitness Report times).

Responses	SA=5	A=4	N=3	D=2	DS=1
N	4,	22,	34,	45,	15
Percentage:	3.3%,	18.3%,	28.3%,	27.5%,	12.5%
Means:	OA=2.6, ENS=1.8, LTJG=2.9, LT=2.4, LCDR=2.8, CDR=2.8, CAPT=3.0, RADM=3.0				
Medians:	OA=2.5, ENS=1, LTJG=3, LT=2, LCDR=3, CDR=3, CAPT=3, RADM=3.				

4. I feel that my command has spent significant time with me discussing career guidance and development.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	2,	11,	33,	50,	24
Percentage:	1.7%,	9.2%,	27.5%,	41.7%,	20%
Means:	OA=2.3, ENS=1.8, LTJG=2.8, LT=2.2, LCDR=2.3, CDR=2.0, CAPT=2.2, RADM=3.0				
Medians:	OA=2, ENS=1, LTJG=3, LT=2, LCDR=2, CDR=2, CAPT=2, RADM=3.				

5. I feel that the NOAA Corps Fitness Report System has aided me in becoming a more proficient, more professional officer.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	4,	24,	43,	42,	7
Percentage:	3.3%,	20%,	35.8%,	35%,	5.8%
Means:	OA=2.8, ENS=2.8, LTJG=2.4, LT=2.8, LCDR=2.8, CDR=2.6, CAPT=3.1, RADM=3.0.				
Medians:	OA=3, ENS=2, LTJG=3, LT=3, LCDR=3, CDR=3, CAPT=3, RADM=3.				

6. I believe the purpose(s) of the Fitness Report System should be to

a. Aid in annual adjustment of the lineal list.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	27,	58,	19,	13,	3
Percentage:	22.5%,	48.3%,	15.8%,	10.8%,	2.5%
Means:	OA=3.8, CDR=4.2,	ENS=3.8, CAPT=3.6,	LTJG=3.8, RADM=4.0	LT=3.5,	LCDR=3.9,
Medians:	OA=4, CDR=4,	ENS=3, CAPT=4,	LTJG=4, RADM=4.	LT=4,	LCDR=4,

b. Aid in separating personnel who aren't performing.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	56,	51,	8,	5,	0
Percentages:	46.7%,	42.5%,	6.7%,	4.2%,	0.0%
Means:	OA=4.3, CDR=4.4,	ENS=4.4, CAPT=4.1,	LTJG=4.6, RADM=4.0.	LT=4.1,	LCDR=4.5,
Medians:	OA=4, CDR=4,	ENS=4, CAPT=4,	LTJG=5, RADM=4	LT=4,	LCDR=5,

c. Provide feed back to aid the rated officer in developing professional skills.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	51,	62,	2,	4,	1
Percentages:	42.5%,	51.7%,	1.7%,	3.3%,	0.8%
Means:	OA=4.3, CDR=4.2,	ENS=4.8, CAPT=4.4,	LTJG=4.4, RADM=4.0	LT=4.3,	LCDR=4.3,
Medians:	OA=4, CDR=4,	ENS=5, CAPT=4,	LTJG=4, RADM=4	LT=4,	LCDR=4,

d. Aid in the assignment process.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	24,	71,	16,	8,	1
Percentages:	20%,	59.2%,	13.3%,	6.7%,	0.8%
Means:	OA=3.9, ENS=4.2, LTJG=3.9, LT=3.8, LCDR=4.2, CDR=3.7, CAPT=4.0, RADM=4.0				
Medians:	OA=4, ENS=5, LTJG=4, LT=4, LCDR=4, CDR=4, CAPT=4, RADM=4				

e. Aid command to develop personnel and obtain desired performance.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	25,	66,	19,	9,	1
Percentages:	20.8%,	55%,	15.8%,	7.5%,	0.8%
Means:	OA=3.9, ENS=3.8, LTJG=3.7, LT=3.8, LCDR=4.2, CDR=3.6, CAPT=4.1, RADM=5.0				
Medians:	OA=4, ENS=4, LTJG=4, LT=4, LCDR=4, CDR=4, CAPT=4, RADM=5.				

f. Assist in evaluating qualification for promotion.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	37,	69,	7,	1,	0
Percentages:	32.4%,	60.5%,	6.1%,	0.9%,	0.0%
Means:	OA=4.2, ENS=4.2, LTJG=4.2, LT=4.2, LCDR=4.3, CDR=4.3, CAPT=4.4, RADM=4.0				
Medians:	OA=4, ENS=4.5, LTJG=4, LT=4, LCDR=4, CDR=4, CAPT=4, RADM=4.				

g. Other (Please indicate).

Replies noted on questionnaires 25, 48, 57, 66, 82 and 85. Questionnaire 85 gave the best suggestion (in the writer's opinion) in suggesting that an additional purpose should be to:

"Evaluate skill of NOAA officer with respect to operating a data gathering vehicle..."

7. I believe the Fitness Report System is effective in implementing

a. Aid in annual adjustment of the lineal list.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	1,	38,	48,	23,	8
Percentages:	0.8%,	32.2%,	40.7%,	19.5%,	6.8%
Means:	OA=3.0, CDR=2.8,	ENS=3.2, CAPT=3.2,	LTJG=2.8, RADM=4.0	LT=3.0,	LCDR=3.1,
Median:	OA=3, CDR=3,	ENS=3, CAPT=4,	LTJG=3, RADM=4.	LT=3,	LCDR=3,

b. Aid in separating personnel who aren't performing.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	4,	26,	25,	46,	17
Percentages:	3.4%,	22%,	21.2%,	39.0%,	14.4%
Means:	OA=2.6, CDR=2.9,	ENS=2.2, CAPT=2.6,	LTJG=2.7, RADM=4.0	LT=2.3,	LCDR=2.9,
Medians:	OA=2, CDR=3,	ENS=2, CAPT=3,	LTJG=3, RADM=4.	LT=2,	LCDR=2,

c. Provide feedback to aid the rated officer in developing professional skills.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	5,	54,	34,	22,	4
Percentages:	4.2%,	45.4%,	28.6%,	18.5%,	3.4%
Means:	OA=3.3, CDR=2.8,	ENS=3.2, CAPT=3.5,	LTJG=3.4, RADM=4.0.	LT=3.4,	LCDR=3.2,
Medians:	OA=3, CDR=3,	ENS=4, CAPT=3.5,	LTJG=4, RADM=4.	LT=4,	LCDR=3,

d. Aid in the assignment process.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	0,	46,	50,	19,	4
Percentages:	0.0%,	38.6%,	42.0%,	16.0%,	3.4%
Means:	OA=3.2, ENS=2.8, LTJG=3.4, LT=3.2, LCDR=3.1, CDR=3.0, CAPT=3.1, RADM=3.0				
Medians:	OA=3, ENS=3, LTJG=3.5, LT=3, LCDR=3, CDR=3, CAPT=3, RADM=3.				

e. Aid command to develop personnel and obtain desired performance.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	2,	41,	53,	19,	4
Percentages:	1.7%,	34.7%,	44.9%,	16.1%,	3.4%
Means:	OA=3.2, ENS=2.2, LTJG=3.0, LT=3.2, LCDR=3.4, CDR=2.9, CAPT=3.5, RADM=4.0.				
Medians:	OA=3, ENS=2, LTJG=3, LT=3, LCDR=3, CDR=3, CAPT=3.5, RADM=4.				

f. Assist in evaluating qualification for promotion.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	0,	56,	35,	25,	4
Percentages:	0%,	47.4%,	29.7%,	21.2%,	3.4%
Means:	OA=3.2, ENS=2.6, LTJG=3.1, LT=3.0, LCDR=3.2, CDR=3.5, CAPT=3.8, RADM=4.0.				
Medians:	OA=3, ENS=3, LTJG=3, LT=3, LCDR=3, CDR=4, CAPT=4, RADM=4				

g. Other (Please indicate)

Response noted on questionnaires 57 and 85. Questionnaire 85 (see 6g.) indicated disagreement with our present Fitness Report's ability to evaluate adequately an officer's skill with respect to operating a data collection vehicle.

8. I feel that a system whereby poor or marginal performers in the grades 0-4 and 0-5 with less than twenty years service could be separated with severance pay would be beneficial to the NOAA Corps.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	52,	48,	11,	8,	1
Percentages:	43.3%,	40%,	9.2%,	6.7%,	0.8%
Means:	OA=4.2, CDR=4.0,	ENS=4.0, CAPT=3.8,	LTJG=4.4, RADM=4.0	LT=4.2,	LCDR=4.3,
Medians:	OA=4, CDR=4,	ENS=4, CAPT=4,	LTJG=4, RADM=4.	LT=4,	LCDR=5,

9. I feel that a system whereby subordinates rate superior officers would be beneficial to the NOAA Corps.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	34,	34,	23,	16,	13
Percentages:	28.3%,	28.3%,	19.2%,	13.3%	10.8%,
Means:	OA=3.5, CDR=3.3,	ENS=4.6, CAPT=3.1,	LTJG=4.0, RADM=4.0	LT=3.8,	LCDR=2.9,
Medians:	OA=4, CDR=4,	ENS=5, CAPT=3,	LTJG=4, RADM=4.	LT=4,	LCDR=3,

10. I believe that a mechanism to incorporate peer group ratings into the Fitness Report System would be beneficial to the NOAA Corps.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	14,	38,	23,	24,	18
Percentages:	12.0%,	32.5%,	19.6%,	20.5%,	15.4%
Means:	OA=3.0, CDR=2.6,	ENS=4.4, CAPT=2.9,	LTJG=3.1, RADM=3.0.	LT=3.3,	LCDR=2.8,
Medians:	OA=3, CDR=3,	ENS=5, CAPT=3.0,	LTJG=3.5, RADM=3.	LT=3.5,	LCDR=3

11. If I were to weight performance measures of NOAA Corps Fitness Report in Section 8, I would give the heaviest weight factor to the following performance area(s). Leave blank if you consider all areas of equal importance.

Job ability and/or job accomplishment	66 responses
Job accomplishment	57 responses
Job ability	53 responses
Leadership	34 responses
No indication in either question	
11 or 13	33 responses
Judgment	33 responses
Initiative	26 responses
Human Relations	15 responses
Loyalty	2 responses
Self-expression	2 responses
Officer bearing	2 responses

12. What weight should EEO performance receive?

See Appendix B. The majority of responses tend to indicate that:

- It is covered in other categories
- EEO performance is difficult to grade
- It should be mentioned in the narrative comments if either positive or negative EEO activity is noted.

13. Do you recommend deletion of any area listed in Section 8 as being either too subjective in nature or irrelevant as a performance measure? If so, which one(s)?

No deletions	84 responses	
Loyalty	21 deletions	5 less important
Officer bearing	7 deletions	5 less important
Self expression	2 deletions	2 less important
	1 redefine	
Human relations	1 deletion	2 less important
Judgment	1 deletion	1 less important
Reliability	1 deletion	1 less important
Initiative	1 deletion	
Leadership		2 less important
Job ability		1 less important

14. Have you ever written a rebuttal to what you consider an unfair fitness report? Mark NA if you have never received what you consider an unfair report.

NA	73 responses	= 61.9%
NO	30 responses	= 25.4%
YES	15 responses	= 12.7%

15. If you have any comments regarding our Fitness Report System from a rated officers viewpoint, use the space provided below.

Ninety one responses were recorded ranging from one or two sentences to three pages of detailed suggestions. Particularly detailed suggestions and observations were found in questionnaires 4, 12, 40, 64, 71, 81, 91, 106, 111, and 120.

Themes noted included but were not limited to (numbers in parentheses indicate questionnaire number):

A. Criticisms

1. NEW RATING OFFICERS ARE TOLD TO BIAS THE RATINGS UPWARD (87) (Caps added by compiler).
2. Lack of uniformity between graders. (15, 19, 26, 32, 34, 41, 53, 58, 64, 94, 103, and 114)
3. Lack of objectivity sometimes exacerbated by personality clashes and failures of memory (15, 16, 22, 32, 38, 63, and 64)
4. Lack of feedback and counselling between reports (3, 4, 40, 48, 53, 73, 98)
5. Fitness Report has been used as a threat, form of punishment, or incentive creating device (6, 30, 72, 73, 95)
6. Promotion dictated by "warm body" availability as opposed to merit (7, 18, 60)
7. Advancement on lineal list is more a function of exposure than talent (36, 93)
8. Rated officer not always provided copy of Fitness Report (5, 28, 36, 45, 100)
9. Inadequate rebuttal system (4, 20, 38, 47, 51, 56, 81, 111, 116)
10. Unfit and unskilled rating officers (4, 6, 40, 106)
11. Strict adherence to guidelines will hurt rated officer (9, 65)
12. Ratings by civilian (both too high and too low) potentially harmful to rated officer (10, 29, 39, 53, 69, 71, 86, 93)
13. Although reports flag potential problems, follow-up corrective actions insufficient (61)

14. Marginal officer can slide by with little or no incentive for improvement (98)
15. Some reports written on basis of little observation (one response indicates having received somewhat "fictitious" reports). (2, 21, 34, 72, 106)
16. Effective evaluation of Fitness Reports lacking at HQ level (70, 74, 75, 81, 87, 118, 120)
17. Must occasionally pursue rating officer to get report (86)
18. In most commands difficult to compare officers of equal grade and length of service as most commands have few officers of equal grade and length of service (64, 107)
19. Physical fitness ignored in NOAA Corps (40)

B. Suggestions for Improvement

1. Include section on potential (114)
2. Establish section for recommended action by OPB (64)
3. Add overall rating of officer to end of Section 8 (12, 95)
4. Require indication of whether or not a conference took place (111)
5. Give rated officer copy of Fitness Report prior to conference (100)
6. Establish MBO system throughout NOAA Corps as each assignment is different (establish specific attainable goals for each rating period) (109, 120)
7. Draft set guidelines for minimum development standards for each job (work standards approach) (34)
8. Modify the rating scale to allow greater differentiation than the present 10, 8, 6, 4, 2. (11, 12)
9. Have independent appraisals by at least two individuals higher up on chain of command (help eliminate personal bias of rater) (21)
10. Attempt to have more correlation between outstanding Fitness Reports and commendations, awards, etc. (33)
11. While rating, rank qualifications in Section 8 in order of importance as the rater sees them for a given job (52, 72, 104)
12. Educate or police raters to maintain expected distribution (58, 64, 81, 91, 110)
13. Use as long-term substantiation tool to trace trends in performance as opposed to yearly observation at "Love-in" (63)

14. Institute a form of self-assessment whereby rated officer indicates accomplishments, awards, duties, etc. for appraisal period (81, 96)
15. Require a statement concerning an officer's ability to operate a ship, fly, or dive. (85)
16. Eliminate loyalty. Either the officer is loyal or is not. (88) Perhaps add "attitude" in lieu of loyalty (67)
17. Change Section 8 column headings to Outstanding, Above Average, Average, Below Average, Poor; or change column headings to numerical values 1-5 or 1-10. (90, 95, 106)
18. Require full justification for any extreme marks. (106)
19. Weight reports by grader's average mark. (110, 120)
20. Rate officer relative to job, duties, and performance. (64)

C. Questions

1. How are reports utilized and by whom? (12, 13, 64, 78)
2. What criteria is used to grant advanced lineal standing (or a drop in numbers)? (20)
3. What goes on at the annual "Love-in?" (36, 78)

D. PART III - RESULTS

Forty-three responses were recorded for Part III. These responses were categorized (when appropriate) as follows:

20 responses from 0-4 and below; and 23 responses from 0-5 and above.

1. Based on the 100 point total in Section 8, what is the approximate point score that you have given your rated officers?

Average score given by a rating officer is: 74.2.

Average score given by 0-4 and below is: 73.9.

Average score given by 0-5 and above is: 74.5.

Distribution of average grades given is:

59 and below	2 graders
69-60	4 graders
74-40	11 graders
79-75	12 graders
84-80	10 graders
89-85	3 graders

2. What approximate percentage of officers have you rated poor in any category?

Distribution:

0%	= 16 responses
1%	= 5 responses
2%	= 2 responses
3%	= 2 responses
5%	= 11 responses
10%	= 4 responses
20%	= 1 response
25%	= 1 response

3. Under Section 9, Desirability, what approximate percentage of officers have you indicated that you
- a) Prefer Not To Have
 - b) Satisfied to Have
 - c) Pleased to Have
 - d) Prefer to Most
 - e) Particularly Desire

The number of unique distributions reported makes it impossible to generalize about this question. It is apparent that Section 9, Desirability, is virtually useless as an evaluative tool as presently utilized by rating officers.

4. How many officers have you recommended for advancement on the lineal list?

Distribution:

0 recommendation	= 30 responses
1 recommendation	= 3 responses
2 recommendations	= 4 responses
3 recommendations	= 1 response
4 recommendations	= 1 response
5 recommendations	= 2 responses
1 response indicated	15%

This section elicited comments such as it is not in the rating officer's domain, but instead it is up to the Officer Personnel Board to act on outstanding report (questionnaire 73), "Never occurred to me" (questionnaire 100) and "...but I really feel I have had excellent officers" for a rater who has recommended 50% (about 5) of his subordinates for advanced standing (questionnaire 110).

5. How many officers have you recommended for separation or a drop in lineal number?

Distribution: 0 recommendation = 36
 1 recommendation = 4
 2 recommendations = 1
 4 recommendations = 1
 1 response indicated 5%

6. I feel the mechanisms for advancement on the lineal list, separation, and setting back on the lineal list are operating properly.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	0,	9,	14,	12,	7
Percentages:	0.0%,	21.4%,	33.3%,	28.6%,	16.7%
Means:	OA=2.6,	0-4 and below=2.7,			0-5 and above=2.5
Median:	OA=3,	0-4 and below=3,			0-5 and above=2

7. I feel my evaluation are characterized by

- a. an ongoing process in which I actively coach subordinates and comment on their performance throughout the rating period.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	5,	21,	8,	8,	0
Percentages:	11.9%,	50%,	19.0%,	19.0%,	0.0%
Means:	OA=3.5,	0-4 and below=3.4,			0-5 and above=3.6
Medians:	OA=4,	0-4 and below=3.5,			0-5 and above=4

- b. a joint effort by myself and other top members of a command providing input to the evaluation of subordinates.

Response	SA=5	A=4	N=3	D=2	DS=1
N	4,	29,	5,	4,	0
Percentages:	9.5%,	69.0%,	11.9%,	9.5%,	0.0%
Means:	OA=3.8,	0-4 and below=3.6,			0-5 and above=3.9
Medians:	OA=4,	0-4 and below=4,			0-5 and above=4

8. I feel that training in personnel evaluation would be beneficial to me in aiding me to better evaluate my subordinates.

Responses	SA=5	A=4	N=3	D=2	DS=1
N	7,	23,	10,	3,	0
Percentages:	16.3%,	53.5%,	23.2%,	7.0%,	0.0%
Means:	OA=3.8, 0-4 and below=3.9, 0-5 and above=3.7				
Medians:	OA=4, 0-4 and below=4, 0-5 and above=4				

9. If you have any further comments concerning our Fitness Report System from a rating officer's viewpoint, use the space provided below.

Responses to this questions are included in the compilation of comments in Part II, question 15.

E. DISCUSSION OF RESULTS

The most remarkable aspect of the Fitness Report Questionnaire results is the uniformity of response from all grades. Both Ensign and Rear Admiral groupings present anomalous results in response to some questions; but, as mentioned earlier, the small sample sizes associated with those two groups preclude generalizations.

Taken as a whole, the results of the questionnaire indicate that the NOAA Fitness Report System is perceived as not accomplishing all that it could or all that it should. In addition, in many instances written comments suggest dysfunctional side effects of the Fitness Report System.

Major problems with the system in its present form include:

1. Lack of effective communication between rater and ratee as to what behavior the ratee is being graded on (Part II, questions 3, 4, 6c vs 73, 6e, vs 73, 15; Part III, 7a). It is worthwhile to contrast the responses to Part II, #3 and Part III, #7a. Although 62% of raters Agree or Strongly Agree that they actively coach or comment upon subordinate performance throughout a rating period, only 22% of rated officers Agree or Strongly Agree that they receive on-going feedback throughout a rating period.
2. A widespread belief that adjustments to the lineal list (both up and down) are not being implemented properly (Part II, questions 6a, 6b, 6f, 7a, 7b, 7f, 15; Part III questions 2, 4, 5, 6).
3. A lack of uniformity between graders. (Part II, question 15; Part III, questions 1 and 3)
4. Although a few years back NOAA instituted a program of voluntary career counselors, it is apparent that career guidance and development within the NOAA Corps are perceived as being deficient. (Part II, question 4)
5. An inadequate rebuttal system.

On the plus side, the NOAA Corps Fitness Report form is generally well-liked (although worthwhile suggestions for modification were received) as is the NOAA Corps system (evaluation by a superior, a conference, and then review by the OPB). A small majority of responding officers (56%) Agree or Strongly Agree that the present Fitness Report System has provided NOAA Headquarters with a true measure of their abilities and worth to NOAA. Conversely, 38% indicated having received at least one unfair (in their opinion) Fitness Report during their career. Although lack of objectivity was a major theme in the written comments, a majority of raters, 78%, (Part III, 7b) indicated that they work with other top members of their command in providing input for

inclusion on subordinates' Fitness Reports. This practice can only tend to increase objectivity in reporting.

Looking at specific questions, the majority of responses to questions 6a through 6f Agree or Strongly Agree that the NOAA Corps Fitness Report System should have the following objectives:

- 71% 6a) aid in annual adjustment of the lineal list
- 89% 6b) aid in separating personnel who aren't performing
- 94% 6c) provide feedback to aid the rated officer develop professional skills
- 79% 6d) aid in assignment process
- 76% 6e) aid command to develop personnel and obtain desired performance
- 93% 6f) assist in evaluating qualification for promotion

Significantly, questions 7a thru 7f, which indicate the NOAA Corps perception of how well the above objectives of the NOAA Corps System are being implemented register the following Agree or Strongly Agree response rates:

- 33% 7a) adjustment of lineal list
- 25% 7b) separating non-performers
- 50% 7c) feedback
- 39% 7d) assignment
- 36% 7e) develop personnel
- 47% 7f) evaluate qualifications

It is to be noted that the average percentage of officers who responded Strongly Agree to questions 7a thru 7f is only 1.7%.

A desire for a change in retention policy is strongly suggested by an 83% Agree or Strongly Agree response rate to Part II, question 8, regarding forced separation with severance pay of presently tenured marginally or poorly performing 0-4's and 0-5's.

Responses to Part II, questions 9 and 10, concerning subordinate rating of superiors (57% Agree or Strongly Agree) and peer group ratings (44% Agree or Strongly Agree) indicate lukewarm to cool acceptance of these ideas. As a small majority concur with the concept of subordinate rating of superiors, a specific suggestion as to how this could be handled will be made in the final chapter.

The response to Part II, question 11 indicates a desire to be graded more heavily on the basis of the potentially identifiable, job-related traits of Section 8, NOAA Form 56-6, as opposed to the more nebulous personal traits of Section 8. Job Accomplishment and Job Ability had far and away the highest response rate regarding which performance measures should be weighted most heavily. Leadership, Judgment, and No Indication of heavier weighting are in second place, while Initiative is in third place. The great majority (79%) of responses to this question fall within the first five items of Section 8 which the writer considers to be more related to job and performance than the remaining traits of Section 8.

Question 13 inquires if any area of Section 8 is too subjective or irrelevant and, as such, requires deletion. No Deletions is the leader with four times more responses than second place, Loyalty. Officer Bearing is in a distant third place. However, Loyalty, of all items in the personal and professional traits, appears to be most subject to abuse

by a rater or to be dysfunctional for NOAA as a whole. To paraphrase Questionnaire 32, disloyalty and independence of thought and action (high initiative? high creativity?) may sometimes be confused. As regards loyalty, where does a subordinate's loyalty lie if his immediate superior is guilty of shirking his duty, incompetence, or even worse? Does loyalty lie with that superior (who writes his Fitness Report) or does it lie with NOAA as a whole?

Question 12, which is concerned with the weighting of EEO ratings, elicited much comment. See Appendix B and Results in this chapter. As mentioned in Chapter IV the investigator recommends that NOAA follow the philosophy of the United States Navy (see Appendix A) as regards grading of EEO activity. The Navy, as opposed to grading all officers on EEO activity, explicitly states that only those officers in a position to implement the tenets of EEO or Affirmative Action Plans should be graded on EEO activity.

Question 14 points out the deficiency of our present rebuttal system. Thirty-eight percent of rated officers feel that they have received at least one unfair Fitness Report. Only 33% of those having received unfair reports have written rebuttals. To quote an O-6 over 30 years, "A rebuttal may be an officer's way to get his or her viewpoint across, but the only recourse an officer really has is to leave the service, or hope for a reappraisal from a different rating officer" (Questionnaire 116.) If, for instance, an officer

is marked down in Loyalty or Human Relations, he is put in an untenable position. A rebuttal proves the point: he is an argumentative, ill-tempered, disloyal bleeper. No rebuttal implies tacit agreement with the rating. Clearly an effective system must be instituted to resolve discrepancies between rater and rated.

Question 15, requesting comments concerning the NOAA Corps System, generated much response. The six most numerous themes were:

1. Lack of uniformity between graders (12 responses)
2. Inadequate rebuttal system (9 responses)
3. Civilian raters (8 responses)
4. Lack of objectivity (7 responses)
5. Lack of feedback and counselling (7 responses)
6. Effective evaluation of Fitness Reports lacking at HQ level (7 responses)

The most frequent suggestion for improvement of the system was to educate or police raters to maintain the expected distribution (5 responses).

Response to Part III, questions 1 thru 5, indicated that, as suspected, Fitness Report grades are inflated, raters are not grading from a common base, use of "Poor" ratings is minimal, recommendations for advancement on the lineal list are minimal, and recommendations for separation or a drop on the lineal list are minimal. Not surprisingly, in light of the above rater response, 9% Strongly Agree and only 21% Agree that mechanisms for advancement on the lineal list, separation, and setting back on the lineal list are operating properly (Part III, question 6). It appears highly unlikely

that any meaningful personnel action could be taken on the basis of the NOAA Corps Fitness Report System as it is presently operating.

As mentioned earlier in this chapter, Part III, question 7a indicates that 62% of rating officers feel that their evaluations entail on-going feedback to rated officers during a rating period. As only 22% of rated officers indicate that they have received on-going feedback during a rating period, a "communications gap" definitely exists.

The fact that most rating officers work with other senior members of their command in developing Fitness Reports is an encouraging trend (question 7b). This should be NOAA Corps policy as additional rater input can help eliminate personal bias.

As a final note, a majority (70%) of raters Agree or Strongly Agree that some form of training in personnel evaluation could be beneficial to them in better evaluating subordinates (Part III, question 8).

VII. RECOMMENDATIONS FOR IMPROVEMENT OF THE NOAA CORPS FITNESS REPORT SYSTEM

A. INTRODUCTION

As with any system involving interaction between human beings, there is always room for improvement within any appraisal system. By the same token, no appraisal system yet devised has totally eliminated problems associated with personality conflicts, inflationary trends, subjective grading, or intentional corruption of the system. Because of the great importance to an organization of personnel evaluation and development, the organization should periodically review its appraisal system with the objective of improving that system.

The following recommendations are offered in the spirit of building on and improving the NOAA Corps appraisal system. Specific recommendations will be concerned with:

- 1) Modification of NOAA Corps philosophy of appraisal to reflect both an evaluative mode (past performance oriented) and a developmental mode (future performance oriented).
- 2) Modification of Fitness Report For Commissioned Officers (NOAA Form 56-6) and Service Report (NOAA Form 56-25).
- 3) Modification of existing NOAA Directives and Instructions concerned with the NOAA Corps Fitness Report System, assignments, promotion, and separation from the NOAA Corps.

Suggested means of implementing the above recommendations follow.

B. MODIFICATION OF NOAA CORPS APPRAISAL PHILOSOPHY

As opposed to the phrase, "modification of NOAA Corps appraisal philosophy," a more realistic concept as concerns the NOAA Corps is the adoption of a better methodology to implement present NOAA Corps philosophy.

The upper echelon of NOAA Corps management is already committed to officer guidance and career development and an equitable and just Fitness Report System. As evinced by numerous articles and statements of policy in the NOAA Corps Bulletin, (see Appendix C), the house organ of the NOAA Corps, the proper administration of the Fitness Report System and open channels of communication for career guidance and development (via a program of volunteer career counselors) are major concerns of the NOAA Corps Command.

In spite of this concern, it is apparent from the response to the NOAA Corps Fitness Report Questionnaire that neither the career guidance and development program nor the Fitness Report System are perceived as operating properly. Both of these problems are a direct result of either a lack of effective communication between superiors and subordinates or an inadequate method of communication between superiors and subordinates (superiors are seen as issuing authoritarian directives which are not perceived as either guidance or feedback by the subordinate officer).

To help eliminate this lack of effective communication and strengthen the developmental aspects of the NOAA Corps Fitness Report System, the writer specifically recommends that the NOAA Corps adopt a flexible policy of either Management-by-Objectives or Work Standards, as applicable to a specific job.

MBO is specifically designed to increase communication between individuals throughout an organization by requiring that superior and subordinate confer to formulate and agree upon specific attainable performance objectives for the subordinate at the beginning of a rating period. At the end of the rating period, the rater evaluates the subordinate on how well he has attained the agreed upon objectives. MBO is of particular value to organizations within a dynamic environment (rapidly changing technology or rapidly changing organizational structure), or for evaluating subordinates in relatively unstructured assignments such as laboratory assignments, management positions, and many staff positions.

Work Standards, which involve superiors dictating objectives to subordinates, would be effective in dealing with officers in relatively structured assignments or for improving the performance of officers who lack sufficient motivation or skills to function properly in their present assignment. In the Work Standards approach the process is similar to MBO with an initial discussion between rater and rated; but, in this case the superior tells the subordinate what

management approved objectives he should strive for during the upcoming appraisal period. At the end of the rating period, the subordinate is rated on how well he has attained his designated objectives.

It is to be noted that it is entirely possible to set performance objectives with both MBO and Work Standards that correlate with the attainment of long-term and/or short-term career goals. Even if this is not possible, the conferences between superior and subordinate should also serve as an opportunity for the superior to provide career counseling and to discuss the overall professional development of the subordinate officer.

The writer adheres to the belief that self-assessment used in conjunction with MBO or Work Standards is one of the most effective evaluative and developmental methods for members of an organization such as the NOAA Corps. NOAA Corps officers are recruited and offered commissions on the basis of already demonstrated academic and/or professional excellence. To attain excellence, the demonstrated high performer is continually engaged in self-assessment with a view toward improvement of strengths and overcoming of weaknesses. In addition, no other individual has better knowledge of one's accomplishments and career landmarks than the rated individual himself. As such, why not incorporate this already ongoing process into the Fitness Report System?

It is noted that the NOAA Corps Service Report (Fig. 12) already incorporates a large measure of self-assessment into its format. However, this form is primarily utilized by the Officer Assignment Board and is not utilized to a high degree by the Officer Personnel Board. The writer suggests that the Service Report be incorporated into the Fitness Report System and with minor modifications to reflect MBO and Work Standards, as well as self-assessment, become the primary developmental tool of the NOAA Corps Fitness Report System.

The writer is not suggesting that the NOAA Corps dispense with the evaluative function of the NOAA Corps Fitness Report System and recommends retention, with modifications, of NOAA Form 56-6, Fitness Report For Commissioned Officers, as the primary evaluative tool of the NOAA Corps System.

Administration of this proposed dual system will be discussed in the section of this chapter dealing with modification of NOAA Directives and Instructions.

C. MODIFICATION OF FITNESS REPORT FOR COMMISSIONED OFFICERS (NOAA FORM 56-6) AND SERVICE REPORT (NOAA FORM 56-25)

Recommendations for changes to Fitness Report for Commissioned Officers follow:

1. Retention of Sections 1 thru 6 in present form.
2. Deletion of Section 7, Duties, as it is redundant with Section 5 of Service Report.
3. As regards Section 8, General Instructions:

- a) Change title of Section 8, General Instructions to Performance Factors
- b) Delete statement, "When possible, evaluate the officer in comparison with other NOAA officers of similar grade and length of service." As pointed out in some questionnaire responses, most NOAA commands have few, if any, officers of similar grade and length of service. Replace above statement with, "Evaluate officer with respect to how well he met objectives and performed duties associated with present assignment."
- c) Replace Section 8 performance designators of "Excellent," "Very Good," and "Satisfactory," with "Exceeds Job Standards," "Meets Job Standards," and "Below Job Standards." Retain "Outstanding" and "Poor" as the two possible extreme grades. Adoption of these terms is consistent with grading an officer relative to performance of duties as opposed to comparison with officers of similar grade and length of service. Skipping ahead a bit, the above terminology is also consistent with grading guidelines that will be proposed in this thesis concerning modification of directives and instructions. As reported in Chapter IV, the remark of the Coast Guard Commandant concerning the generally high level of overall competence

and performance of Coast Guard officers is also applicable to NOAA Corps officers. As such, no logical inconsistency occurs if the average NOAA Corps officer "Exceeds Job Standards" in many of the performance factors of Section 8.

- d) Replace system requiring marking X in box of choice on the graphic rating scale (where the five choices equate to 10, 8, 6, 4, 2), with a requirement to write in a value of 10 or 9 for each "Outstanding" mark, 8 or 7 for each "Exceeds Job Standards," 6 or 5 for each "Meets Job Standards," 4 or 3 for each "Below Job Standards," and 2 or 1 for each "Poor."
- e) Eliminate statement "For Office Use Only" and replace with "Total Score" at the bottom of the graphic scale. Require the rating officer to tabulate and record the total score in this block and have the rated officer see this score prior to sending the Fitness Report to the reviewing officer. Perhaps the reason for the rating officer not tabulating the total score is a throwback to the days when individual rater trends and average rater scores were maintained at NOAA Corps Headquarters. As such, each Fitness Report was adjusted to reflect a rater's handicap or "Master

Mark" as it was then termed. This system is no longer maintained and it would appear that there is no longer any justification for not communicating a rated officer's total score to him/her during the course of an evaluation discussion.

- f) The NOAA Corps Fitness Report Questionnaire indicates a desire to weight the relative score of the various performance factors of Section 8 more heavily towards Job Accomplishment and Job Ability and less heavily towards Loyalty and Officer Bearing. As opposed to instituting a complicated formula to attain this end, the writer recommends the addition of a performance factor termed Job Knowledge and the combining of Loyalty and Officer Bearing under a general heading termed Service Aptitude. It is to be noted that the present definition of Job Ability on Form 56-6 is in fact a partial definition of Job Knowledge. Thus, the writer proposes the following definition for Job Knowledge:

Observed extent of professional knowledge, rapidity with which knowledge is acquired, new concepts are grasped and broad assignment areas are comprehended.

Now the problem becomes one of defining Job Ability. To paraphrase an element of the October 1, 1975,

NOAA Corps Bulletin, (see Appendix C), which included a major policy statement concerning the NOAA Corps Fitness Report System, the writer proposes the following definition of Job Ability:

Demonstrated overall performance of present assignment considering the level of responsibility, the type of duties performed, and the magnitude of problems encountered.

Within the new heading, Service Aptitude, reiterate the definitions of Loyalty and Officer Bearing (delete "Service Aptitude" as the last element of Officer Bearing) and grade the two components of Service Aptitude on a five point basis similar to the scoring of Writing Skills and Oral Skills under Self-Expression.

- g) It was suggested on Questionnaire 28 that Self-Expression be "reconstructed." The present definition implies use of correct syntax and brevity of message to be the objectives of NOAA Corps intra-organizational communication. The writer suggests that the free flow of ideas and new concepts both down and up the chain of command should be the primary objective of NOAA Corps communications. As such, the writer recommends deletion of the performance factor Self-Expression and addition of the factor Communication. The following definition is proposed:

The effectiveness, accuracy, and completeness with which the officer expresses facts and ideas to subordinates, peers, and superiors. The ability of the officer to listen to and accept the ideas and concepts of subordinates, peers, and superiors.

h) It is to be noted that the writer did not suggest the use of a Behaviorally Anchored Rating Scale or a one concept per item Graphic Rating Scale. The changes suggested to Section 8 entail minor modification to the form and retain the present 100 point format of the rating scale. As such continuity is ensured between the old system and the proposed new system.

4. Delete Section 9, Desirability, and add a section on Recommended Officer Personnel Board Action. Desirability, as shown by the response to the NOAA Corps Fitness Report Questionnaire, is virtually useless as a rating tool because of the many unique rater viewpoints of a proper distribution to utilize. The following block headings are proposed:

- a. Advancement on lineal list
- b. Promotion with peers
- c. Loss of numbers on lineal list
- d. Separation

Institution of such a rating block will allow the Officer Personnel Board (OPB) to know immediately the intent of a rater as regards proposed personnel action. With the present form, the OPB must attempt to glean the true intent of the rater thru the innuendos

or nuances of the written comments. In addition, the rater presently has only the options of "separation from" or "retention in" designed into the form. Clearly, a Recommended Action section is required.

5. Recommend deletion of Sections 10 and 11, Other Factors and General Comments. In place of these very general narrative areas, the writer recommends inclusion of areas for comment directed at specific areas such as:
 - a) How well has this officer met his objectives for this rating period?
 - b) Comment upon the strong points of this officer which enhance his effectiveness. Give specific examples.
 - c) Comment upon any weak points of this officer which have hindered his effectiveness. Give specific examples. If none are noted, so indicate.
 - d) Evaluate this officer's skill with respect to seamanship, airmanship, and/or diving ability as applicable. If not observed, so indicate.
 - e) Comment upon the magnitude of this officer's input to your command's operations.
 - f) Justify all Section 8 marks of "Outstanding," "Below Job Standards," or "Poor" by providing specific examples.

g) Have this officer's actions adhered to the tenets of EEO and Affirmative Action?

YES NO NA. If no, explain.

h) Comment upon any other significant activities of this officer such as Public Affairs Work, inter-governmental relations, efforts at self-improvement, etc. If nonconcurrence with self-assessment of Form 56-25, comment on specific items.

It is to be noted that the majority of Comment areas suggested above are already within the domain of Other Factors and General Comments. By requiring comments on each specific area helps to insure that each officer is being rated from a common base. Under the present system, a rating officer may not consider all important (from an organizational standpoint) aspects of a rated officer's behavior. In the writer's experience, many times raters tend to blend the two areas together or even paraphrase the information contained in Other Factors while writing General Comments.

6. Delete Section 12. In modification of Directives and Instructions the writer recommends inclusion of a Reviewing Officer in lieu of a Reporting Officer. A Reviewing Officer signature is proof that a particular Fitness Report has been sent through channels.

7. Retain Section 13.
8. Delete Section 14. This is redundant with Service Report.
9. Under Section 15, include the comment "An evaluative discussion has been held" (Yes, No). If No, explain. Change the term "Reporting Officer" to "Reviewing Officer."

To reiterate the major points contained above, the major changes suggested for NOAA Form 56-6 are:

- a) Change the criteria for rating from rating in relation to comparison with peers to rating in relation to performance of job standards.
- b) Make the graphic scale more job related by redefining Job Ability, inclusion of Job Knowledge, and down grading Loyalty and Officer Bearing to components of a Service Aptitude Factor.
- c) Require rater to total and record total score on form.
- d) Delete Desirability and add a section on Recommended Officer Personnel Board Action.
- e) Delete Other Factors and General Comments. Add requirement for comments on specific behavioral aspects of officer.
- f) Delete Reporting Officer. Add Reviewing Officer.

As envisioned in this report, Fitness Report for Commissioned Officers is to be used primarily as the NOAA Corps evaluative tool (past performance oriented). Service Report, already a NOAA Corps developmental tool, will play an expanded role which will involve both use by the Officer Personnel Board and greatly enhanced interaction between the rated officer and

his immediate superior in the development of performance objectives, career goals, and potential career paths for the rated officer.

Redesign of Form 56-25 will require reorganizing the form such that elements of self-assessment and performance objectives are located on the front page while elements of career development and career counselling are located on the back page. The front side will be used primarily by the Officer Personnel Board while the back side will be used primarily by the Officer Assignment Board.

Specific recommendations for change to Form 56-25 (see Fig. 12) follow.

- 1) In title block, delete word "year" and insert word "period." Delete December 31. Elements on the front page should be completed concurrently with any submission of NOAA Form 56-6.
- 2) Retain sections 1-4 in present format.
- 3) Add a section on Objectives. Proposed wording follows:
"List at least three and no more than five attainable performance objectives for your next rating period. These objectives were arrived at (with, by) my superior."
- 4) After Objectives will be Assignments and Duties. Following "...special assignments" in the instructions following Assignments and Duties, insert "Include time spent in major collateral duties and time spent in training."

NOAA FORM 56-25 (7-73)	U.S. DEPARTMENT OF COMMERCE NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION	1. NAME - LAST, FIRST, MIDDLE INITIAL																																																																																																			
SERVICE REPORT FOR YEAR ENDING DECEMBER 31, 19____		2. GRADE	3. DEGREE(S)																																																																																																		
5. ASSIGNMENTS AND DUTY (Describe in detail each assignment and duty you have had THIS REPORTING PERIOD. Include any significant TDY or special assignments. Also, if assigned to a ship, estimate the amount of time actually involved in operations as opposed to layup, dry docking, etc.)		4. TOTAL LENGTH OF SERVICE:																																																																																																			
6. DUTY (Cumulative)		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="width: 15%;">A. SHIP</th> <th colspan="2">OCEANO</th> <th colspan="2">HYDROG</th> <th colspan="2">OTHER</th> <th colspan="2">TOTAL</th> <th rowspan="2" style="width: 20%;">HIGHEST DUTY PERFORMED</th> </tr> <tr> <th>YRS.</th> <th>MOS.</th> <th>YRS.</th> <th>MOS.</th> <th>YRS.</th> <th>MOS.</th> <th>YRS.</th> <th>MOS.</th> </tr> </thead> <tbody> <tr> <td>ALASKA</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> <td></td> </tr> <tr> <td>ATLANTIC</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> <td></td> </tr> <tr> <td>GULF OF MEXICO</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> <td></td> </tr> <tr> <td>PACIFIC</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> <td></td> </tr> <tr> <td colspan="8" style="text-align: center;">TOTAL (SEA)</td> <td></td> <td></td> </tr> <tr> <td colspan="9">B. MOBILE SHORE</td> <td></td> </tr> <tr> <td colspan="9">C. FIXED SHORE</td> <td></td> </tr> <tr> <td colspan="8" style="text-align: center;">TOTAL</td> <td></td> <td style="font-size: small;">This amount should agree with Total Length of Service in Item 4 above.</td> </tr> </tbody> </table>		A. SHIP	OCEANO		HYDROG		OTHER		TOTAL		HIGHEST DUTY PERFORMED	YRS.	MOS.	YRS.	MOS.	YRS.	MOS.	YRS.	MOS.	ALASKA										ATLANTIC										GULF OF MEXICO										PACIFIC										TOTAL (SEA)										B. MOBILE SHORE										C. FIXED SHORE										TOTAL									This amount should agree with Total Length of Service in Item 4 above.
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NOAA FORM 56-25

Figure 12

7. NEXT ASSIGNMENT PREFERENCES: <i>(Request at least TWO DIFFERENT TYPES of assignments, i.e., Research Lab., Class I Ship and Hydrographic Field Party; or Class I Ship, Class II Ship and Flight Training. If possible, give reasons for your choice such as long range career objectives.)</i>	
(1)	
(2)	
(3)	
OTHER INFORMATION OR REQUESTS	
8. DO YOU WISH GRADUATE OR SPECIALIZED TRAINING? <i>(If so, explain in detail. At what point in your career would this be desirable?)</i>	
9. ACCOMPLISHMENTS DURING OR OUTSIDE REGULAR PROFESSIONAL DUTIES <i>(Training, education, awards, licenses, special duty, papers, etc.)</i>	
10. CONSTRUCTIVE SUGGESTIONS FOR THE BETTERMENT OF NOAA AND THE CORPS AND FOR ADDITIONAL COMMENTS ON ANY OF ABOVE SECTIONS.	
11. SIGNATURE _____ NOAA	12. FORWARDED: _____ SUPERVISOR'S SIGNATURE
DATE	

NOAA FORM 56-25

U.S. Government Printing Office: 1975 - 685-651/1102, Reprint No. 6

Figure 12

- 5) After Assignments and Duties, put Accomplishments During or Outside Regular Professional Duties (presently Section 9). Change instructions of this section to "Magnitude of input to command's operations, training, education,..."
- 6) At bottom of front page put "Supervisor (concur, does not concur) with officer self-assessment. If nonconcurrence, explain specific differences in Comments section of Form 56-6."
- 7) At the top of the back page place statement, "Completion of these blocks required only for June 30 and December 31 submission of reports."
- 8) Following the above statement, place Duty (Cumulative).
- 9) Below Duty, place Next Assignment Preferences.
- 10) At this point, insert Proposed Career Path below Next Assignment Preferences. Instructions for this new heading follow.

"Using your first assignment preference above as the initial step, indicate your preferred career path for your next three assignments."
- 11) Below Proposed Career Path, place the statement, "Supervisor (concur, does not concur) with proposed career path. If nonconcurrence, explain."
- 12) Below the above statement, place "Do you wish graduate or specialized training."

- 13) Below the block requesting graduate or specialized training, place supervisor recommendation of same similar to Block 14 of Form 56-6. "Supervisor recommends full-time graduate training at this time. (Yes, No, No Opinion)."
- 14) Retain Constructive Suggestions... as last block of Form 56-25.

The changes recommended for Form 56-25 are related to the redesign of the form for easier use and the inclusion of specific items designed to generate greater interaction between subordinates and superiors in the realm of performance, short-term career objectives, and long-term career plans. The major points recommended are:

- a) Establishment of a section for agreed upon or assigned performance objectives.
- b) Use of a measure of self-assessment which is to be utilized as part of the Fitness Report System.
- c) Concurrence or non-concurrence with self-assessment by supervisor (ensures veracity of self-assessment).
- d) Redesign of form to reflect self-assessment and performance objectives on front page, while career development and counselling aspects are on the back page.
- e) Inclusion of a Proposed Career Path section which is designed to generate thought and discussion between

superior and subordinate as regards a logical career progression for the individual officer. This section could also help the Officer Assignment Board make better match-ups between individual and service needs if the individual's desired career path is known.

D. MODIFICATION OF NOAA DIRECTIVES AND INSTRUCTIONS

NOAA Directives and Instructions concerned with the NOAA Corps Fitness Report System, assignment, promotion, and separation are found in Chapter 56, NOAA Corps Regulations, and on NOAA Forms 56-6 and 56-25. Specific regulations affecting or touching upon the above items are:

NDM 56-6 - Commissioned Officers-Fitness Reports for Commissioned Officers 1/14/72.

NDM 56-40- Commissioned Officers - General 8/13/71.

NDM 56-44- Commissioned Officers - Authority and Precedence 7/27/76.

NDM 56-45- Commissioned Officers - Assignments 8/8/77.

NDM 56-46- Commissioned Officers - Promotion 12/30/77.

NDM 56-47- Commissioned Officers - Nondisability Retirement 10/21/75.

NDM 56-59 Commissioned Officers - Involuntary Nondisability Discharge 7/28/76.

As mentioned in Chapter V , the tear sheet attached to NOAA Form 56-6 has several instructions printed on the tear sheet (see Appendix D for affected regulations).

It is not the intent of the writer to rewrite the above regulations and instructions. The recommendations to follow

are presented as philosophical guidelines for the appropriate NOAA legal office to follow if the revision of any regulation presently in effect is deemed desirable.

Changes to Instructions for Form 56-6 tear sheet follow. Only major items will be addressed (see Appendix D).

1. Rewrite contents of Item 8 to reflect
 - a) Grade values of 10 or 9 for "Outstanding," 8 or 7 for "Exceeds Job Standards," 6 or 5 for "Meets Job Standards," 4 or 3 for "Below Job Standards" and 2 or 1 for "Poor."
 - b) Delete the required distribution of grades for all NOAA officers (it is to be noted that this distribution of all officers is inconsistent with the requirement on the form to rate an officer in comparison to others of equal grade and length of service).
 - c) Addition of a section giving total score guidelines such as "It is recognized that the average NOAA Corps officer will exceed the requirements of his job in many of the performance factors. As such, the following total score guidelines are to be followed:

83 and above indicates an officer who has potential for accelerated promotion; 68-82 indicates an officer who is ready for promotion with peers; 60-68 indicates an officer who, although functioning adequately in present assignment, requires additional work to

develop himself for promotion and additional responsibility; 59 and below is indicative of an officer who is "just getting by" or possesses professional or personal deficiencies that could lead to separation."

2. Under Section 15(b), delete term "Reporting Officer" and add "Reviewing Officer." The duties of a reviewing officer will follow in the discussion of NDM 56-6.
3. Under Retention of Copies, add the statement
"A copy of the completed fitness report will be provided to the rated officer for his retention at least one day prior to the evaluation discussion."

It is to be recognized that if modifications to the form are followed as previously recommended, Items 1 thru 15 will have to be modified in toto to reflect the new format.

Recommended changes to NOAA Corps Regulations will be discussed by appropriate Directive Number.

1. NDM 56-6 Fitness Reports for Commissioned Officers
 - a) Revise "1. Purpose," to include "...preparation and submission of Fitness Reports for Commissioned Officers, NOAA Form 56-6, and Service Report, NOAA Form 56-25."
 - b) Revise 2d to reflect the uses of the appraisal system. Recommended format follows:
"As the primary purposes of the NOAA Corps appraisal system are to provide performance and career counselling to individual officers, stimulate communication between superiors and subordinates, and provide a comprehensive evaluation of past performance as the basis for selecting officers for assignment, promotion

and separation, it is mandatory that the utmost care be exercised in completing both NOAA Form 56-6 and NOAA Form 56-25. When a complete..."

c) Provide the following introduction to "3.

Procedures."

"The NOAA Corps adheres to the principles of Management-by-Objectives (MBO) and utilizes a dual purpose appraisal system to aid in the implementation of the MBO system. This dual purpose appraisal system is designed to attend to the developmental needs of the individual officer and to attend to the evaluative needs of the individual officer and the NOAA Corps as a whole. The primary developmental tool of the NOAA Corps appraisal system is Service Report, NOAA Form 56-25. The primary evaluative tool of the NOAA Corps is Fitness Report for Commissioned Officers, NOAA Form 56-6. Administration of the NOAA Corps System Follows.

1. Within two weeks following the beginning of an appraisal period, the supervisor and subordinate officer are to confer concerning the establishment of attainable performance objectives for the new appraisal period. These objectives will be arrived at by mutual agreement between the supervisor and subordinate in the case of officers in relatively unstructured assignments. In the case of officers in structured assignments, the supervisor will inform the subordinate of what objectives are to be attained during the next reporting period (Work Standards). In all cases, officers who are performing marginally in relation to job standards will be assigned objectives by the supervisor.

These objectives are to be written on Form 56-25 and used for reference midway through the rating period and at the end of the appraisal period.

2. Midway through the appraisal period, supervisor and subordinate are to confer on the status of attainment of objectives and the overall performance of the subordinate. The next assignment preference and proposed career path of the subordinate will also be discussed at this conference.
 3. One month prior to the end of an appraisal period, rated officer will provide rating officer with completed Service Report, Form 56-25. Page one will be completed for all rating periods. Page two will be completed for all June 30 and December 31 submissions of NOAA Form 56-25.
 4. Based on personal observation of rated officer and reference to "Accomplishments" as enumerated on Form 56-25, the rating officer will complete Form 56-6 and provide the rated officer with a copy of this completed form at least one day prior to a discussion of Forms 56-6 and 56-25. Where at all practicable, the rating officer will consult with other top members of a command in arriving at the final evaluation on Form 56-6.
 5. A conference will be held between the rated officer and his/her supervisor prior to forwarding Forms 56-6 and 56-25 on to the Reviewing Officer. This conference will focus on the performance of the officer during the just completed appraisal period and will also serve as a vehicle for discussing the subordinate's next assignment preferences and proposed career path as found on Form 56-25.
- d) Modify 3a to reflect the institution of a reviewing officer within the appraisal system.

Recommended format follows.

"...it will then be referred to a reviewing officer, who in most cases will be the next

supervisory level above the rating officer. In cases involving more or less independent activities, it shall be the responsibility of NCI to designate a reviewing officer for that activity. The responsibility of the reviewing officer is to assure that total score guidelines are being adhered to by rating officers under his/her jurisdiction and that "Outstanding," "Below Job Standards," and "Poor" marks are adequately documented. As in most cases the reviewing officer will also be evaluating the rating officers reporting to him/her, the reviewing officer will use each rating officer's reports as a measure of that officer's judgment, communication skills, leadership, and human relations.

- e) Modify 3b to reflect that a copy of an officer's Fitness Report (Form 56-6) should be given to him/her for retention in his/her own records at least one day prior to the end-of-appraisal-period discussion.
- f) Sections 3c and 3d are concerned with the rebuttal process. As written, they adequately define the rebuttal process. However, it is apparent from responses to the Fitness Report Questionnaire that a rebuttal is perceived in one of two ways: a) having no effect with the Officer Personnel Board; or b) further incriminating to the officer writing the rebuttal. If properly used, the recommended use of self-assessment on Form 56-25, could help alleviate this problem. If the use of Form 56-25 as envisioned by the writer is not adopted, (which would allow

the rated officer to present his viewpoint as standard procedure) it is recommended that NOAA Corps Headquarters study the rebuttal problem further and issue a major policy statement in the near future expanding on the 1 October 1974 NOAA Corps Bulletin article concerning grievance and rebuttal procedures (Appendix C).

- g) As subordinate rating of superiors received slightly more than 50 percent agreement or strong agreement on the NOAA Corps Fitness Report Questionnaire, it is recommended that a statement to the following effect be included in NDM 56-6.

"Although not mandatory, it is recommended that NOAA Corps commanding officers actively seek the opinion of their subordinates as regards their leadership style, communication skills, and efforts to develop subordinate professional potential. Because of the hierarchical structure of the NOAA Corps, it is probable that valid information will be forthcoming only if each commanding officer requests this information on an anonymous basis from his subordinates. It is hoped that such a voluntary program will enhance the overall effectiveness of each commanding officer."

2. NDM 56-44, As regards Section 1g(1). Modify present Officer Personnel Board policy as follows.

Review all Fitness Reports and Service Reports (NOAA Forms 56-6 and 56-25) on a yearly basis. This annual review will employ management-by-exception and flag only poor performers for action by the Officer Personnel Board. To accomplish this requires

merely an inspection of the Recommended Action by Officer Personnel Board block and an inspection of the total score. If no recommendations for either separation or drops in lineal number are recorded, and if all point scores are over 60, the OPB is finished for that year.

Every two years inspect all Fitness Reports and Service Reports of O-2's and O-1's in depth. Adjust lineal list and separate poor performers in these grades on a two year basis.

Every four years the OPB should study the Fitness Reports and Service Reports of all officers (every second bi-annual review of O-2's and O-1's to be held concurrently with the four year review of O-3's and above). At this review the OPB will look only at records of the past four years. Information over four years old (both complimentary and detrimental to the rated officer) is of little value in determining an officer's present potential for advanced lineal standing or, conversely, for adverse action.

The above proposed OPB review schedule has numerous advantages if used in conjunction with the recommended changes to forms and procedures. These include: 1) increased validity of Officer Personnel Board decisions as decisions will be based on at

least four appraisals by in most cases two or more appraisers; 2) a reduction of time spent by OPB in adjusting lineal list and separating non-performers; 3) recent sustained high or low performance will be the basis for personnel action; and 4) by starting review cycle over every four years will provide incentive for improvement to low or medium performers as the beginning of each four year cycle essentially wipes the slate clean. In addition, by establishing both point guidelines for raters to follow and a block for Recommended Officer Personnel Board Action, the identification of rating officers who have abused the system (numerous recommendations given for advanced lineal standing or numerous point scores over 82 given during a four year period) should be relatively easy.

- 3) NDM 56-45. As regards 4d(3) add the statement following "...ATTN: NCI."

"It is of the utmost importance that the supervisor review and discuss both the assignment preferences and proposed career path with the submitting officer."

- 4) NDM 56-47. The NOAA Corps Fitness Report Questionnaire indicated an 83% agreement or strong agreement with the concept of separating poor or marginal performers in the grades of O-4 and O-5 with severance pay. Present regulations dictate under 56-47-3b

and 3c that an officer fitting the above description be involuntarily retired. Because of accelerated promotion in the NOAA Corps as opposed to other services, the writer recommends that the NOAA Corps adopt a system whereby 0-4's and 0-5's falling into the category of officers presently involuntarily retired under 56-47-3c, in the "Best Interest of the Service," with the exception of those being released by reason of program contraction or NOAA Corps numbers limitations, be separated with severance pay. This is not to be regarded as an erosion of benefits, but instead a measure to protect both the interests of the United States Government and assure that the NOAA Corps maintain its vitality as a professional organization.

Changing present policy will not affect the vast majority of NOAA Corps officers who are imbued with high professional standards. However, it will put additional teeth into the Fitness Report System and make it less palatable for the shirkers and sluggards to actively pursue their natural inclinations.

- 5) NDM-56-59. To be consistent with the recommendation above, include the grades of lieutenant commander and commander among those grades under 1c(1) and (2), which can be separated with severance pay.

As regards lump-sum payment of severance pay under 56-59-4, the writer recommends establishing a payment ceiling of \$15,000 in lieu of "not to exceed a total of two years' basic pay." This would bring us into line with the other services.

The major recommendations for change to NOAA Directives and Instructions as listed above include:

- 1) The adoption of MBO as NOAA Corps policy.
- 2) Dispensing with the performance distribution included in Instructions of Form 56-6, and adopt total score guidelines.
- 3) Establishment of a timetable for administration of the proposed system.
- 4) Designation of reviewing officers to maintain the integrity of the system.
- 5) Establishment of four year OPB review cycles for 0-3 and above and two year review cycles for 0-2 and 0-1.
- 6) Requiring an expansion of the role played by the supervisor in the formulation of career goals and plans for subordinate officers.
- 7) Putting more teeth into the present Fitness Report System by adopting a policy of separation with severance pay (in lieu of involuntary retirement) for poor performers in the grades of 0-4 and 0-5.

E. SUMMARY

The preceding recommendations for improvement of the NOAA Corps Fitness Report System have been formulated after careful consideration of industry appraisal practice, present uniformed services appraisal practice, and the collective response to the NOAA Corps Fitness Report System Questionnaire. The recommendations are designed to enable the NOAA Corps Command to implement better present personnel policy. These recommendations are primarily concerned with improvement of communication between supervisor and subordinate and the improvement of internal controls of the NOAA Corps Fitness Report System to assure that it remains a viable legally defensible appraisal system.

Communication between subordinate and superior could be enhanced if the NOAA Corps adopts Management-by-Objectives and/or Work Standards as applicable in a given situation. The use of self-assessment, as outlined in this thesis, could improve both superior - subordinate communication and allow a subordinate to communicate his/her view of his/her accomplishments to the Officer Personnel Board. This last feature could be both an overall morale improver and a means of eliminating the need for a rebuttal system in all but extreme cases. The requirement for three performance and/or career counselling discussions during an appraisal period will assure that a subordinate receives adequate feedback during an appraisal period and not be the recipient of any unpleasant

surprises at the end of the appraisal period.

Controls suggested to assure that the integrity of the NOAA Corps Fitness Report System is maintained include:

1. Total score guidelines
2. A requirement to recommend specific action by the Officer Personnel Board.
3. Written justification of all extreme marks recorded on the Graphic Rating Scale.
4. As opposed to present "shotgun" approach to written comments, a requirement to comment on specific behavioral aspects of subordinate.
5. Superior agreement or disagreement with subordinate self-appraisal to be noted.
6. A reviewing officer whose duties include monitoring of rater adherence to total score guidelines and assuring that rater maintains impartial attitude.
7. Revision of timetable for indepth Officer Personnel Board review of appraisal records.
8. A strengthened separation policy for nonperforming 0-4's and 0-5's.

Recommendations for changes to affected forms and regulations are designed to help implement the communication and control measures described above.

If the system described in this thesis is adopted, it will require the full support of the NOAA Corps Command to implement properly. With careful monitoring of the system by reviewing officers and constructive feedback as regards the operation of the system from the NOAA Corps Command, such an appraisal system could lead to a better prepared, better informed, and more professional NOAA Corps.

APPENDIX A PERTINENT REGULATIONS AND INSTRUCTIONS FROM OTHER SERVICES

A3-4	AFR 36-10	Attachment 3	1 January 1978
PERFORMANCE FACTORS		PERFORMANCE	
	FAR BELOW STANDARD (Any Item)	BELOW STANDARD (Any Item)	
1. JOB KNOWLEDGE (Depth, currency, breadth)	<ul style="list-style-type: none"> Has serious gaps in technical and professional knowledge Knows only most rudimentary phases of job Lack of knowledge affects productivity Requires abnormal amount of checking 	<ul style="list-style-type: none"> Technical and professional knowledge is inadequate for the job Must be assigned only routine duties and monitored regularly Requires close supervision 	
2. JUDGMENT AND DECISIONS (Consistent, accurate, effective)	<ul style="list-style-type: none"> Reluctant to make decisions on his or her own Decisions are usually not reliable Declines to accept responsibility for decisions 	<ul style="list-style-type: none"> Usually makes sound routine decisions Tends to procrastinate on necessary decisions Reluctant to evaluate factors before arriving at decisions 	
3. PLAN AND ORGANIZE WORK (Timely and creative)	<ul style="list-style-type: none"> Fails to plan ahead Disorganized and usually unprepared Objectives are not met on time 	<ul style="list-style-type: none"> Scheduling and organizational efforts normally fail Encounters difficulty with tasks other than routine Finished products are usually behind schedule 	
4. MANAGEMENT OF RESOURCES (Manpower and material)	<ul style="list-style-type: none"> Wastes or misuses resources No system established for accounting of material Causes delay for others by mismanagement 	<ul style="list-style-type: none"> Accomplishes conservation of material on a sporadic basis Squanders resources to get job done 	
5. LEADERSHIP (Initiative, acceptance of responsibility)	<ul style="list-style-type: none"> Often weak. Fails to show initiative and accept responsibility Lacks self-confidence Inconsistent in dealing with subordinates 	<ul style="list-style-type: none"> Avoids responsibility Displays confidence only when working with familiar subjects Initiative and acceptance of responsibility adequate in most situations 	

APPENDIX A

A3-5

1 January 1978

AFR 36-10 Attachment 3

STANDARDS (see note)

	MEETS STANDARD (Any Item)	ABOVE STANDARD (All Items)	WELL ABOVE STANDARD (All Items)
1.	<ul style="list-style-type: none"> • Demonstrates adequate technical and professional knowledge required for the job • Searches out facts and arrives at sound solutions to problems • Broad knowledge of related jobs and functions • Conversant with significant job-related developments 	<ul style="list-style-type: none"> • Possesses keen insight and the ability to evolve it into practical solutions • Keeps informed of important developments in related fields • Can handle difficult situations effectively • Broad knowledge of related missions • Rarely requires guidance or assistance 	<ul style="list-style-type: none"> • Possesses superb technical and professional knowledge • Sufficiently well versed in his or her job to discuss and implement improved methods resulting in savings in manpower or material • Maintains and increases professional and technical knowledge • Actively pursues new ideas and developments and their relation to the overall mission • Recognized authority in his or her field
2.	<ul style="list-style-type: none"> • Seeks out all available data before arriving at decisions • Consistently provides accurate decisions • Accepts responsibility for decisions and learns from incorrect judgments • Provides effective decisions by clear and logical thinking 	<ul style="list-style-type: none"> • An exceptionally sound, logical thinker • Does not hesitate to make required decisions • Decisions are consistently correct • Opinions and judgment are often solicited by others 	<ul style="list-style-type: none"> • Keen, analytical thinker • Makes accurate decisions under intense pressure • Extremely effective in exercising logic in broad areas of responsibility
3.	<ul style="list-style-type: none"> • Careful, effective planner • Anticipates and solves problems • Effectively balances resources • Finished products are consistently submitted on time 	<ul style="list-style-type: none"> • Plans beyond requirements of present job • Plans coincide with related activities • Is flexible and able to adjust priorities • Frequently called on to organize complex tasks 	<ul style="list-style-type: none"> • Able to anticipate critical events and make prior provisions to deal with them • Plans encompass all feasible contingencies • Extremely effective in utilization of resources
4.	<ul style="list-style-type: none"> • Uses minimum material with good results • Establishes controls to ensure that manpower and material are accounted for and conserved • Develops and uses cost-effective methods 	<ul style="list-style-type: none"> • Excellent results accomplished at minimum cost • Consistently suggests methods of conserving resources • Skillfully uses cost-effectiveness studies 	<ul style="list-style-type: none"> • Extremely effective in use of material • Consistently seeks and projects ways of using existing equipment • Is often assigned to difficult and important projects where limited resources are a significant factor
5.	<ul style="list-style-type: none"> • Accepts responsibility of assigned tasks • Consistently displays initiative • Commands respect of subordinates • Is fair and consistent in dealing with subordinates 	<ul style="list-style-type: none"> • Demonstrates a high degree of initiative and acceptance of responsibility • Displays exceptional skill in directing others • Promotes enthusiasm by interest and sincerity • Acknowledged leader among his or her peers 	<ul style="list-style-type: none"> • Consistently demonstrates outstanding initiative and acceptance of responsibility • Exhibits complete confidence in his or her ability to handle any task • Induces maximum effort from everyone • Is decisive in critical situations • Provides direction and guidance for broad areas of responsibility • Leadership not limited to subordinates and peers

APPENDIX A

6. ADAPTABILITY TO STRESS (Stable, flexible, dependable)
 - Panics in new situation
 - Tendency to shy in difficult situations
 - Reaction is unpredictable
 - Prefers to work on routine tasks
 - Jumps to erroneous conclusions in new situations
 - Hesitates to become involved in new situations
7. ORAL COMMUNICATION (Clear, concise, confident)
 - Does not convey ideas clearly and concisely
 - Has limited vocabulary
 - Cannot express thoughts in a logical sequence
 - Only occasionally able to verbally convey useful information
 - Briefings and discussions frequently exhibit a lack of confidence
8. WRITTEN COMMUNICATION (Clear, concise, organized)
 - Written communications are inadequate due to errors in vocabulary, spelling, and grammar
 - Communications often raise doubt as to exact meaning
 - Others must continually seek clarification or correct errors
 - Clarity of written communications is inconsistent
 - Only occasionally able to convey a cogent idea
 - Extensive editing and correcting is usually required before communications can be dispatched
9. PROFESSIONAL QUALITIES (Attitude, cooperation, bearing)
 - Displays a negative attitude toward the military
 - Bearing is slumped and generally reflects carelessness
 - Totally unable to work with others
 - Does not accept or practice Air Force standards of bearing, behavior or grooming
 - Does not accept AF standards and must be continually reminded to comply
 - Shows lack of enthusiasm with the success or failure of AF mission
 - Is aware of shortcomings but makes excuses for them
 - Frequently unable to work with others
 - Bearing, behavior and grooming create a very poor impression
 - Does not enforce Air Force standards of bearing, behavior or grooming
10. HUMAN RELATIONS (Equal opportunity participation, sensitivity)
 - Openly and knowingly practices discrimination
 - Uses racial epithets or sexual slurs maliciously
 - Is deliberately hostile to minorities or members of the opposite sex
 - Does not show any consideration or concern for others
 - Displays very limited sensitivity to equal opportunity policies
 - Treats minorities or members of the opposite sex markedly different than other personnel
 - Employs inflammatory or derogatory terms toward minorities or members of the opposite sex
 - Tends to lack concern for peers and subordinates

Performance Standards. NOTE: These standards are not to be used or paraphrased as specific examples in section III of AF Form 707. They are simply standards by which the rater can judge which performance rating is supported by the specific example the rater is using. Use of general terms such as these in place of specific examples is inappropriate and is grounds for the report being returned to the rater for reaccomplishment.

APPENDIX A

6.
 - Flexible and open to new ideas
 - Willingly seeks assistance in difficult situations
 - Provides reliable decisions under pressure
 - Consistently displays calm and controlled behavior
 - Ready adapts to fluctuations and changing priorities
 - Consistently performs well in difficult situations
 - Anticipates changes and is prepared to react accordingly
 - Responds quickly and effectively to crises
 - Systematically succeeds where others fail
 - Consistently provides outstanding leadership and guidance under difficult and stressful conditions
7.
 - Very articulate in a wide range of difficult communications situations
 - Puts extra effort into conveying well
 - Capable of persuading an audience
 - Delivers concise, well-organized presentations
 - Is often called on to present and explain difficult and complex subjects
 - Can sway a hostile audience to his or her point of view
8.
 - Writing is clear and concise
 - Written instructions and reports are readily understandable
 - Written communications are consistently well organized and grammatically correct
 - Written reports can be easily followed by all readers
 - Communications are succinct and concise, containing only those words necessary to express an idea
 - Able to describe complex or technical concepts so well that even the casual reader can readily comprehend the idea
 - Is consistently chosen for the most important and difficult writing assignments
 - Is frequently asked to edit the written correspondence of others
9.
 - Is aware of and follows Air Force policies and objectives
 - Remains current on developments and procedures
 - Cooperates fully with new ideas and policies
 - Volunteers for additional duties and promotes participation
 - Bearing, behavior and grooming create a good impression
 - Effective in working with peers and subordinates
 - Practices and actively promotes AF policies among peers and subordinates
 - Furnishes new developments and applies them to existing procedures
 - Actively promotes participation and willingly accepts jobs that others avoid
 - Bearing, behavior and grooming create a very favorable impression
 - Demonstrates exceptional skill in working with others and eliciting their cooperation
 - Firm, fair, and uniform in enforcing Air Force policies on bearing, behavior, and grooming
 - Represents his or her organization and the AF for the most important events
 - Actively promotes organizational and AF objectives
 - Bearing, behavior and grooming are outstanding
 - Demonstrates clearly superior ability to work with others and to elicit their cooperation
10.
 - Treats all personnel fairly and equitably
 - Voluntarily participates in activities in support of equal opportunity
 - Shows concern and is sensitive to needs of others
 - Establishes and enthusiastically maintains standards of equal opportunity
 - Encourages practice of equal opportunity and treatment in all activities
 - Displays a high degree of sensitivity and concern for others
 - Actively demonstrates strong, visible, and credible support of equal opportunity
 - Is extremely knowledgeable in the area of equal opportunity and treatment
 - Displays extreme sensitivity and a deep concern in all dealings with peers and subordinates
 - Is extremely effective in solving human relations problems - solutions always reflect fair and equal treatment

APPENDIX A

BUFERSINST 1611.12E CI-3
16 Feb 1979

(2) The soundness and effectiveness of his/her work methods. Consider only significant factors related to how he/she accomplishes his/her job. Examples: planning, organizing, delegating, decision making, working with others, etc.

(3) Significant personal qualities which have a bearing on his/her professional performance.

(4) Effectiveness in expressing himself/herself clearly, forcefully, and convincingly, both orally and in writing.

(5) Ability to perform effectively in a higher level position. Consider past professional performance, demonstrated executive and general management skills, knowledge of his/her profession and the environmental factors affecting performance in a higher level position, and his/her understanding of the role of the Navy.

(6) Capacity to continue professional development and to continue growing in his/her ability to assume increasingly responsible, difficult and important assignments. Is he/she continuing to expand his/her professional abilities, or is he/she showing signs of leveling off?

(7) Any subspecialties in which he/she is qualified. Indicate degree of confidence regarding opinions expressed by the officer in the area of his/her subspecialty.

i. Comments should be made upon economy displayed by the effective use of manpower and material. The Secretary of the Navy has directed that reporting seniors comment favorably or adversely, when appropriate, regarding the efforts of the subordinates in reducing paperwork.

j. The retention, reenlistment and, for inactive Reserve officers, recruitment of quality personnel are vital factors in the continued high level of performance of our Navy and, accordingly, should be a matter of major concern to each and every officer. Reporting seniors should comment, when applicable, regarding an officer's efforts and effectiveness in this most important area.

k. When applicable, specific comment should be made on the officer's attention to, and use of, good material maintenance procedures and engineering practices.

l. Provide as complete and comprehensive an evaluation as feasible for Naval Reserve officers performing active duty for training. Active duty for training represents the only real opportunity for the reserve officer to be observed and evaluated as an integral part of the regular component. When specific tasks are assigned, an adequate evaluation can be made. When no specific tasks are assigned, for instance at seminars, conferences, or schools, comments should be made regarding such factors as military bearing and courtesy, degree of participation, and interest displayed. Singular comments such as "period too short to permit evaluation", "not observed", or "no duty performed student" must be avoided.

m. Officers possessing graduate education who share their knowledge are performing a valuable service to the Navy. Those officers who are successful in multiplying the benefits of their education in this manner should be recognized by appropriate entries in their fitness reports.

n. Comments must be made on officers who do not meet the prescribed weight standards. Officers who fail to comply with Navy weight standards are not fulfilling their roles as Naval leaders. Excess body weight is a serious detriment to health, longevity, stamina and military appearance. Overweight conditions often place constraints on an officer's assignability. Reporting Seniors must accurately report these adverse physical conditions on their officers. Accordingly, officers who are in excess of weight standards will be graded UNSATISFACTORY in "Military Bearing" if they are not achieving satisfactory progress toward meeting established standards. Because an overweight condition can have a wide range negative effect in such a key area as leadership, as well as the previously mentioned areas, Reporting Seniors should also consider lowering the grade assigned to "Mission Contribution Evaluation." Comments in the narrative section, for officers who are in excess of weight standards, will include the officers height and weight, how the condition adversely affects his performance, actions taken by the command, and the individual's progress toward attaining prescribed goals. Officers who have been certified by medical authorities as being acceptable due to unusual body structure and/or musculature, are exempt from this requirement.

o. Comments regarding contributions to public and community relations should be included where applicable. While an officer's stature in the civil community is often recognition of his/her leadership ability, comments in this regard should be restricted to those contributions which tend to increase his/her worth and potential as a naval officer or generally reflect credit upon the Navy.

Enclosure (1)

APPENDIX A

b. When the next senior up the chain of command completes a report in lieu of the nominal reporting senior, the notation "NSIC" will be made after last name and initials, if space permits. Otherwise omit initials and enter after last name in block 23, to indicate "next senior in command" in accordance with sections 1-7 or 1-8 of this instruction.

5-7 Section 28. Refer to the instructions for this section as outlined in the Appraisal Worksheet. When transcribing information to the OCR copy, abbreviation of primary duty is required. See enclosure (2).

5-8 Sections 29, 30, 31, 32, 33 and 34. Utilizing the Appraisal Worksheet, evaluate the individual officer's performance in blocks 29 through 34. (The sub-items for blocks 29 through 34 are designed to assist the reporting senior in arriving at a valid, overall grade for each specific aspect of performance.) Review the transcription code tables provided and record the assigned alphabetical grade in the "OCR CODE LETTER" block provided on the Appraisal Worksheet. Other guidance is contained for "Specific Aspects of Performance" on the Appraisal Worksheet.

5-9 Section 35. Utilizing the Appraisal Worksheet, evaluate the individual officer's performance. Many officers, by virtue of billet assignment or command composition, are not afforded an opportunity to demonstrate active support of the Navy's Equal Opportunity Program. Officers who are so constrained should not be assigned an arbitrary grade based on their projected performance in this area, nor one that derives from the fact that no action in the area of equal opportunity performance has been observed. When there has existed little or no opportunity to observe or measure an officer's performance or effectiveness in equal opportunity pursuit and simultaneously no requirement for a dedicated effort in this area is apparent as a result of billet assignment, it is expected that the officer's equal opportunity performance mark will be an "N" for not observed. Conversely, where an officer has been assigned responsibility for a subordinate population which includes individuals of a different sex, racial or ethnic origin, an evaluation of the officer's equal opportunity performance must be recorded and supported by comment, in accordance with section 4-11, paragraph (b). Commanding officers, executive officers, department heads, division officers, branch heads, and formal classroom instructors are examples of those billets which will normally require an equal opportunity observation other than "not observed." In determining the mark, the pursuit of measures to detect and overcome discrimination in all its forms, and initiatives taken to increase their own and their subordinates' racial awareness, must be considered.

5-10 Sections 36 and 37. Utilizing the transcription code table above section 29 of the Appraisal Worksheet, record the assigned alphabetical grade in the "OCR CODE LETTER" block provided on the Appraisal Worksheet.

5-11 Sections 38, 39 and 40. Instructions for completion of these sections are contained in the "Warfare Specialty Skills" section of the Appraisal Worksheet.

a. The mark in Seamanship, section 38, should reflect the degree of attainment of proficiency in all aspects of ship-handling and seamanship.

b. The mark in Airmanship relates to the officer's overall ability as an airman in the actual control of an aircraft or as an air crew member and his/her leadership and judgment in the tactical/operational employment of aircraft and weapon systems. In determining the mark for aviation officers, consider and comment (in section 88) on the following factors:

(1) Personal flying skill and motivation with emphasis on day and night/inclement weather (carrier, patrol, miscellaneous) operations and weapons employment, as applicable.

(2) Ability as a flight leader/plane commander when having served as such.

(3) Knowledge of aircraft and the operational employment.

(4) Overall aeronautical knowledge.

c. A mark in Watch Standing should be assigned only if the officer is detailed to and actually performs specific duties or watches outside his/her normally assigned duties, i.e., as OOD, JOOD, BUMED Duty Officer, etc. See section 4-11b. of this instruction for comments required when qualified

Enclosure (1)

APPENDIX A

b. When the next senior up the chain of command completes a report in lieu of the nominal reporting senior, the notation "NSIC" will be made after last name and initials, if space permits. Otherwise omit initials and enter after last name in block 23, to indicate "next senior in command" in accordance with sections 1-7 or 1-8 of this instruction.

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- (1) Personal flying skill and motivation with emphasis on day and night/inclement weather (carrier, patrol, miscellaneous) operations and weapons employment, as applicable.
- (2) Ability as a flight leader/plane commander when having served as such.
- (3) Knowledge of aircraft and the operational employment.
- (4) Overall aeronautical knowledge.

c. A mark in Watch Standing should be assigned only if the officer is detailed to and actually performs specific duties or watches outside his/her normally assigned duties, i.e., as OOD, JOOD, BUMED Duty Officer, etc. See section 4-11b. of this instruction for comments required when qualified

Enclosure (1)

APPENDIX A

Section 6

Report Development Guidance for the Reporting Senior

6-1 General Discussion. Frequently reporting seniors, particularly officers in charge of small units or commanding officers of small ships, must draw upon what they have seen reflected in their own fitness reports or, in the more fortunate cases, those rough worksheets they have assisted in the preparation of as the basis for their background in fitness report development. This background, even when supplemented by thorough study of the fitness report instruction and the use of folklore solicited from more experienced seniors, may result in less than adequate performance evaluations. In recognition of this shortcoming in guidance previously provided for the development of these most important documents, this section has been included.

6-2 Preliminary Preparation. Considering the preparation of fitness reports, a logical first question is: "When should I begin?" All too often, as evidenced by reports of lengthy periods speaking only to incidents of the recent past, the answer is "On the report-due date or shortly thereafter." The proper answer to this question is: "As soon as you report for duty as reporting senior or as soon as an officer reports to you as his/her reporting senior." You might ask: "How do I prepare for fitness reports so far in advance - a year in some instances?" There are a number of valid approaches; however, the one discussed below will certainly result in adequate fitness reports.

a. Newly reported officers should be initially counseled on the mission of the command, the officer's specific role in the accomplishment of this mission and areas under his/her cognizance which require improvement. Situations or requirements which are peculiar to the command, of which the officer may not be aware, should be thoroughly discussed and clarified, as should any specific expectations of the reporting senior.

b. Because the furtherance of equal opportunity throughout the Navy is of such vital importance, a discussion of goals and potential problem areas should be discussed with the officer. Some possible topics for discussion and specific performance factors which may influence the reporting senior's evaluation of the officer in Equal Opportunity are:

- (1) Grade levels of minority personnel assigned.
- (2) Steps taken to ensure upward mobility of all personnel assigned, with emphasis on minority personnel.
- (3) Steps taken to ensure his/her commitment to full equal opportunity is understood throughout his/her area of responsibility.
- (4) Steps taken to ensure equal opportunity commitment is actively supported by all assigned personnel, with emphasis on personnel assigned to key positions.
- (5) Racial awareness training and education.
- (6) Behavior of officer in relation to stated beliefs in equal opportunity.
- (7) Steps taken to halt racial slurs or other verbal denigration.
- (8) Effective counseling of assigned personnel. Counseling to majority and minority alike must reflect the Navy's commitment to equal opportunity in such areas as promotion, job assignment, services, and housing.
- (9) Follow-up on minority problems or grievances.

c. Establish a file with a separate folder for each officer for whom you are the reporting senior -- regular or concurrent.

d. During the course of normal routine, accumulate in these folders copies of letters, messages, as well as notes, on any matter pertinent to the performance or qualifications of each officer.

Enclosure (1)

APPENDIX A
PERFORMANCE EVALUATION SYSTEM

3006

trivial, imperfections is not desirable and serves no useful purpose. Remarks attesting to the "lack of experience" of a Marine in a new job, for example, can be omitted from section C because inexperience in a new job is only to be expected; on the other hand, very rapid adjustment to a new job would be an appropriate comment.

7. Although their use is not encouraged, supplementary pages may be attached if comments in section C must, of necessity, be lengthy. In those few cases where supplemental pages must be used, they should identify the name, grade and social security number of the Marine being reported on, and the period and occasion of the report. Attach by staple to the space provided on the fitness report form.

3006 COUNSELING

1. Counseling is an essential element in the performance evaluation system; equal in importance to performance appraisal. Each Marine must be made aware of duties assigned, the standards of performance expected, how performance is judged, relative standing among peers, and the opportunities that exist for career development.

2. It is the responsibility of the reporting senior to ensure that each Marine clearly understands what standards of performance are expected and how well the individual is (or is not) performing. Mere statements such as "You are doing a good job - keep it up" are not good counseling or good leadership.

3. Counseling must be a continuous process. It should commence when a Marine first joins a unit, should continue at frequent intervals during the Marine's tour of duty, and terminate upon detachment. Since the initial counseling session is largely policy oriented (outlining expected standards and indicating how the reporting senior judges performance) it could be conducted at a group welcome aboard meeting, although a personal session is more desirable. Subsequent counseling sessions, however, must be on an individual basis and must be conducted at all levels and for all grades. Counseling may occur at any time and as often as it is needed; it cannot be reduced to a scheduled basis, but should take place on any occasion which is suitable. One such occasion is the preparation of a Marine's fitness report; Marines expect and are entitled to an individual counseling session at these times. Fitness reports will not be shown to the Marine being counseled, however, except as discussed in paragraph 4003.

4. In order to be effective, counseling must be positive and clear. Generalities and quick references to lofty principles, e.g., "Your overall performance seems o.k., but you need to work a bit harder on your esprit," do not counsel or guide. Positive counseling can be performed in a number of ways, but should include four definite steps:

- (1) Review with the Marine, individual performance to date.
- (2) Evaluate this performance.
- (3) Jointly establish a definite target(s) (i.e., a plan requiring the Marine's efforts) for maintenance or improvement of performance levels.
- (4) Establish a coaching plan (i.e., a plan requiring the reporting senior's participation) to guide the Marine toward the target(s) established in step (3).

5. Discussion of Counseling Steps

a. Reviewing the Marine's performance

(1) This step should consist of briefly describing to the Marine those performance of duty highlights which occurred since the last counseling session,

3-13

APPENDIX A

3006

PERFORMANCE EVALUATION SYSTEM

as they are recalled by the reporting senior. This description is most effective if organized chronologically for effect, beginning with the first significant highlight, e.g., "at the beginning of the period, your squadron conducted carrier qualifications with a 100 percent record of success," and leading up to the last, e.g., "last week, your squad finished third in the battalion drill competition."

(2) Even if a reporting senior has not personally observed a Marine's performance of duty, performance highlights must still be reviewed with the Marine. The individual must be advised, however, that such highlights are not based on personal observation. The source of the reporting senior's knowledge of the Marine's performance should be mentioned, e.g., "... based on recommended fitness report markings from the range officer,..."

b. Evaluation of the Marine's Performance

(1) During this phase of the counseling session, the reporting senior places the Marine's performance highlights into a meaningful perspective by comparing them against Marine Corps and organizational standards and policies. Essentially, this is the same process which the reporting senior employed in preparing the Marine's fitness report.

(2) Career opportunities should be another topic of discussion in this session. As a minimum, the reporting senior should review the duty preferences which were indicated on the Marine's latest fitness report, and discuss the reporting senior's recommendation. The rationale for the recommendation must be explained, and the Marine should be encouraged to refer to appropriate career planning orders and bulletins for career pattern guidance prior to submitting duty preferences. It is important that the reporting senior dispel any false impressions regarding preferences of duty, such as, "...it looks good on your record," or, "...a good aviator always requests flight duty," etc.

c. Establishment of a Target

(1) This part of the counseling process serves to map for the Marine the road to improved (or consistent) performance. Clearly attainable targets must be defined. These should first be in areas of performance where the Marine is below the Marine Corps or organizational standard. They should be expressed in such a way as to be objective and easily measured. They cannot be too broad or include more than one step (at a time), or else the Marine will have difficulty in achieving them or even understanding how to achieve them. Some examples of performance targets that provide a clear level of required performance, and a sense of accomplishment on completion, are compared with less meaningful ones in figure 3-4, below.

Examples of Target Definition

Improvement needed in	Clear	Weak
Regular duties	Prepare first draft of an office SOP by 15 June.	Tighten up your office procedures.
Personal appearance	Get a regulation haircut at least once every 10 days.	Keep your hair more closely trimmed.

Figure 3-4.--Examples of Clear and Weak Counseling Terms.

APPENDIX A

PERFORMANCE EVALUATION SYSTEM

3007

Training personnel	Prepare a master list of all 3d quarter training requirements by 10 December.	Get a better grip on scheduling of training
Administrative duties	Prepare a carbon copy on yellow paper of each letter signed "By direction" and send the copy to reach the adjutant within 24 hours of signing the original.	Let the commanding officer know what you sign "By direction."
Physical Fitness Test	Do 40 situps in 2 minutes by 10 April.	Improve your PFT score.

Figure 3-4.--Examples of Clear and Weak Counseling Terms--Continued.

(2) If the need for improvement is not evident in any area, the reporting senior should suggest targets which, when accomplished, will serve to maintain the Marine's high level of performance. This guidance must be as clear and precise as that discussed earlier, but should be aimed at the enhancement of already sound performance characteristics rather than the achievement of satisfactory performance. Consideration should be given to off-duty education, correspondence study in professional subjects, participation in a professional reading/discussion group, and other activities which tend to expand, rather than develop, the Marine's attributes.

d. Establishment of a Coaching Plan

(1) To be effective, counseling cannot end with the initial session. Coupling one of the key leadership steps, namely, supervision, with a sincere interest in the progress of each Marine toward clear target(s), produces a cardinal counseling rule: coach each Marine to performance improvement/maintenance. Without the personal coaching of reporting seniors, Marines may make little or no progress or improvement.

(2) Coaching must be positive and dynamic on the part of the reporting senior. It should consist of both scheduled and impromptu sessions and should be performed in a warm and sincere, but authoritative, manner. Several coaching sessions may be required before a Marine reaches a goal, but if coaching is done regularly, and if the goals are realistic, accomplishment will eventually occur. Improved performance as a result of counseling is almost guaranteed, but its success is dependent on both the individual Marine and the reporting senior; the Marine can rarely do it by himself/herself.

6. These four counseling steps can be accomplished informally, but should be conscientiously and carefully researched and planned. The use of counseling worksheets, notes, interview guides, and other aids is encouraged, and the documentation of counseling progress should serve as a strong indicator of a reporting senior's proficiency and skill as a counselor and leader.

7. For additional requirements in the case of an adverse or marginal report, refer to section 4.

3007 FORWARDING REPORT TO REVIEWING OFFICER

1. After completing all of the previous steps, the reporting senior will sign item 23 of section D, enter the date, and forward the report to the reviewing officer for action. Prior to forwarding the report, however, the reporting senior must either (1) certify that the Marine has been counseled, or (2) explain on an attached sheet why counseling was impossible.

3-15



APPENDIX A
DEPARTMENT OF TRANSPORTATION
UNITED STATES COAST GUARD

MAILING ADDRESS
U.S. COAST GUARD G-PO-2/72
WASHINGTON, D.C. 20590
PHONE: 202-426-0935

1611
13 SEP 1978

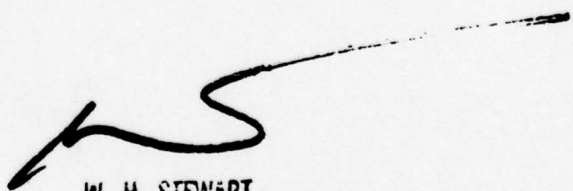
From: Chief, Office of Personnel
To: All Commissioned Officers

Subj: The Officer Fitness Reporting System

1. Commandant Instruction 1611.7 was recently published to inform the officer corps of the present status of our fitness reporting system. It contains information which should be of vital importance to you since there is no one single item which has more impact upon your career as a Coast Guard officer than your fitness report. As part of my efforts to educate the officer corps concerning our fitness reporting system, I am providing you with a personal copy of this Instruction. Read it carefully. The time and effort will be well spent.

2. Those of you who are preparing, reporting or reviewing officers should devote utmost attention to your fitness report responsibilities. Only through your efforts can our fitness report system remain a viable tool for evaluating our officers. I would also encourage you to insure that your subordinates, especially junior officers, develop a complete understanding of the fitness report process. Your cooperation in this very important matter is sincerely appreciated.

Encl: (1) COMDTINST 1611.7


W. H. STEWART
Chief, Office of Personnel



APPENDIX A
DEPARTMENT OF TRANSPORTATION
UNITED STATES COAST GUARD

MAILING ADDRESS:
U.S. COAST GUARD G-PO-2/72
WASHINGTON, D.C. 20580
PHONE: 202-426-0935

COMDTINST 1611.7

13 SEP 1978

COMMANDANT INSTRUCTION 1611.7

Subj: Officer Fitness Reporting System

1. PURPOSE. The purpose of this Instruction is to inform the officer corps of the status of its fitness reporting system, to publish revised service norms for use when writing fitness reports, and to urge the support of all preparing, reporting, and reviewing officers in reversing the alarming inflationary trend in fitness report marks.
2. BACKGROUND.
 - a. The Coast Guard's present fitness report system commenced in 1965. It has been a successful one mainly because it was well received by most Coast Guard officers, and because the majority of reporting officers attempted to adhere to the system by objectively marking officers reported on, particularly during its early years. As a result, our system has existed for nearly fourteen years without suffering the plight of other evaluation systems. For various reasons, performance data in each of these other systems became meaningless because of the accelerated inflation of marks.
 - b. Our system is now in danger, however. In recent years many reporting officers have permitted their marking patterns to become considerably more lenient than the service standard. We have made an effort to encourage those reporting officers to compare their marking distributions with the standard in the hope that each reporting officer would strive to maintain all fitness reports at or near that standard, thereby ensuring some degree of equity in our fitness reporting system. The Reporting Officer Feed-back system (ROF) was part of this effort.

13 SEP 1978

APPENDIX A

2. c. Unfortunately, the trend toward inflated marks has not only continued, but has recently accelerated at an alarming rate. Enclosure (1) indicates for each grade, ensign through captain, the actual distribution of fitness report marks of reports processed for the period 01FEB77 through 16FEB78. This data is being provided for the information of all officers because of the seriousness of the situation now facing us.
3. DISCUSSION. The causes of fitness report inflation are complex and to a large extent psychological--related to the confidence the officer corps has in the system. The following, however, represent the chief causes of the inflationary pressure on the marks:
 - a. Limited growth in the size of the officer corps, and very little voluntary attrition have combined to make our promotion process increasingly competitive. Within the pyramidal billet structure required by law, the Coast Guard's promotion system operates on an "up or out" basis, whereby time in grade until promotion and opportunity for selection are dependent upon growth of the billet structure, or attrition, or both. Our growth rate has slowed in the 1970's from the rapid expansion of the 1960's. Meanwhile changes in economic conditions over the same period have made a Coast Guard career increasingly attractive for many officers thus reducing the rate of voluntary attrition. As a result, the promotion process for the officer corps has become more competitive (illustrated in enclosure (2)). This trend, taken with the fact that our present "best qualified" system of promotion forces out less competitive officers, means that an entirely competent officer who would have been promoted several years ago may be passed over today. Many officers, after seeing competent officers they have known being passed over, have incorrectly assumed these officers were passed over because they were "victims" of fitness report marks inflation. Thus the evaluation system is often blamed unjustly for the effects of the increasingly competitive system.

APPENDIX A

3. b. Evaluation systems tied to promotion and pay tend to create pressure on the evaluator to inflate subordinates' marks. Few of us enjoy the thought that we might be the cause of a subordinate's being passed over for promotion and forced out of the Service.
- (1) Many reporting officers have asked "What is an appropriate fitness report score that will ensure an officer will be promoted?" Whereas the concern of these officers is understandable, it is not the responsibility of the reporting officer to determine whether an officer should be promoted or passed over. The reporting officer's job is to evaluate the performance and personal qualities of his subordinates. In a "best qualified" promotion system like ours, it is the job of promotion boards to determine who shall be promoted by comparing each officer with his/her peers on the basis of his/her total record which includes a number of factors in addition to fitness report scores.
- (2) Some reporting officers may feel they are doing their subordinates justice by inflating their marks in an attempt to ensure promotion. In reality these reporting officers are creating the opportunity for injustice to occur to other officers who are being marked by reporting officers trying to adhere to the system. As the fitness report marks become more and more inflated, the distribution of marks grows narrower and narrower, and it becomes increasingly difficult for promotion boards to differentiate between officers. Thus the chance for error and inequity in the promotion system increases.
- c. A lack of information has contributed to suspicion and mistrust in the officer corps in regard to the fitness reporting system. Although reporting officers must accept responsibility for inflation of the fitness report marks, the Office of Personnel acknowledges its part in the problem as well. In recent years more and more reporting officers began to doubt the fitness reporting system and the degree to which the Experienced Distribution of Marks printed on the fitness

13 SEP 1978

APPENDIX A

3.c(cont'd) report forms reflected the actual distribution.

The fact that competent officers have been passed over by recent promotion boards due to the increased competition has served to fuel the suspicion about our fitness reporting system. This uncertainty has likely been a factor which has caused many reporting officers to assign higher marks to ensure their subordinates would not be hurt by a future promotion board. Possibly more timely information in addition to the ROF reports could have relieved some of these doubts.

- d. The overall competence and performance level of officers in general may be at a higher level than in the past. There is greater selectivity today, not only in selecting officers competing for promotion, but in choosing candidates to enter the Service. More officers are sent to specialized training, followed by assignment to specialized tours where they become essentially resident experts in their field. Tour lengths are longer today, affording officers the opportunity to gain more competency in their jobs. All these factors may contribute to a rise in the level of officer competency and performance (reflected in fitness report marks) independent of any faults with the fitness report system or weakness in reporting officers.

4. MAINTAINING OUR PRESENT FITNESS REPORT SYSTEM.

- a. There is no one single item that has more impact upon the career of an officer than the fitness report. To operate without such a system would be a move away from what is now a fairly rational, impartial system based upon merit, toward a more subjective system that would be increasingly susceptible to bias and inequity. The document is used not only by promotion boards, integration boards, and extension boards, but by boards for selection to command, postgraduate school, and flight training as well. It also has an impact upon an officer's assignment as it often determines the level of responsibility or whether he/she is more deserving in the competition for a particular assignment. It is difficult to imagine how certain personnel decisions would be made without the information provided by our fitness report.

APPENDIX A

13 SEP 1978

4. b. Our fitness reporting system is still workable, but its usefulness is in serious jeopardy. Every effort must be made to reverse the present inflationary trend. As part of this effort a set of desired marks distributions for each grade has been constructed. These distributions, shown in enclosure (3), shall be used by preparing and reporting officers as first step goals in reversing the inflationary trend in fitness report marks.
- c. It is necessary to have the support and compliance of all reporting seniors if our efforts to save our fitness reporting system are to be successful, and if we are to administer our system fairly and equitably for all officers. Each reporting officer, as he evaluates his subordinates, must have confidence that other reporting officers are complying as well. Therefore as a measure to ensure that all reporting seniors will attempt to adhere to the system, Commandant (G-P) has asked for the assistance of flag officers in initiating a review procedure which will minimize cases of noncompliance.

5. ACTION.

- a. Beginning immediately, preparing and reporting officers shall use the new Desired distributions of enclosure (3), for the appropriate grade of the officers being reporting on, as the norm in comparing how each officer stands in relation to other officers of similar length of service in grade. The Experienced distributions printed on the present fitness report forms (Items 14 and 17) shall be disregarded.
- b. Revised fitness report forms, which will reflect the new Desired distributions, are being prepared but will not be available for use until approximately 1 January 1979. Until the new forms are available, the present forms [CG-4328A(Rev.3-72), CG-4328B(Rev.3-72), and CG-4328C(Rev.11-72)] shall continue to be utilized. Reporting Officers shall make the following statement in the COMMENTS section (Item 18) of the present form:

"I have marked this officer in accordance with the new Desired distributions for the grade of (enter appropriate grade of

13 SEP 1978

APPENDIX A

5.b(cont'd) officer being reported on) as specified by COMDTINST 1611.7."

- c. Reviewing officers shall scrutinize the reports submitted to them and discuss with reporting officers any reports which appear inconsistent with the new Desired distributions. They shall also ensure that the statement required by paragraph 5 b. above is made by each reporting officer, and shall return any incomplete reports for correction.
- d. Use of the present fitness report forms is authorized only until the new forms are available. All copies of the present forms shall be destroyed upon receipt of the new forms.
- e. Commandant (G-P) will continue to monitor the distribution of fitness report marks and will report to the officer corps the progress that is made toward reversing the inflationary trend. In the meantime, a study group within the Office of Personnel is investigating modifications to our fitness report system. This effort is taking into account all of the ideas and recommendations received from the officer corps and all officers will be apprised of the results as they become known.


J. P. Stewart
Chief of Staff

Encl: (1) Actual Distribution of Fitness Report Marks
(2) Increasing Competition for Promotion
(3) New Desired Fitness Report Norms

Distribution (SDL. NO. 107)

A: a c d e (3); f g h m v (2); i j k n o r t u (1)
B: c (20); f (15); g (11); e (10); i (8); r (7); h (6);
n (5); b k l m (3); j (2); o p q s t (1)
C: a (5); b d e k n (3); g (2); c f i l m p q s v x y z (1)
D: a (2); b d j l m v x z (1)
E: k l m n o (1)
F: None
ONE COPY TO EACH COMMISSIONED OFFICER

APPENDIX B
NOAA CORPS FITNESS REPORT QUESTIONNAIRE AND COMPILATION OF DATA
Fitness Report System Questionnaire

Introduction: The NOAA Corps Fitness Report (NOAA form 56-6) is one of the most important documents in your career file. Periodically, a review of our methods and philosophy of officer evaluation is in order to assure that we are obtaining the maximum value from the system for both the NOAA Corps and the individual rated officer. As part of a study of our Fitness Report System, the accompanying questionnaire is provided to obtain attitudes, comments for betterment, and personal observations concerning the workings of the NOAA Corps Fitness Report System. This is your opportunity to give our present system a vote of confidence or to aid in formulating methods to improve our present system. Please fill out the following questionnaire and return to NC 2 no later than January 5th, 1979.

Part I

1. Rank (Grade) _____
2. Years in NOAA Corps and with similar evaluation processes _____
3. Present assignment (check one)
 - ___ a. hydrographic ship
 - ___ b. oceanographic ship
 - ___ c. fisheries ship
 - ___ d. mobile duty
 - ___ e. flight
 - ___ f. laboratory
 - ___ g. staff
 - ___ h. management
 - ___ i. other

If you feel that by answering both 1 and 3 your anonymity would be compromised, leave 3 blank.

4. I consider myself primarily oriented towards (check one)
 - ___ a. operations
 - ___ b. R and D
 - ___ c. staff
 - ___ d. management

APPENDIX B

Part II - To be completed by all officers

Section I

	Strongly agree	Agree	Neutral	Disagree	Disagree Strongly
1. I believe that the present Fitness Report					
a) form is a good one (NOAA form 56-6)	—	—	—	—	—
b) system is a good one (evaluation by a superior, a conference, and then review by the OPB)	—	—	—	—	—
2. I feel that my Fitness Reports have provided NOAA Headquarters with a true measure of my abilities and worth to NOAA.	—	—	—	—	—
3. I feel that my command has provided me with on-going feed back concerning my performance throughout a rating period (i.e., as opposed to evaluation only at prescribed Fitness Report times).	—	—	—	—	—
4. I feel that my command has spent significant time with me discussing career guidance and development.	—	—	—	—	—
5. I feel that the NOAA Corps Fitness Report System has aided me in becoming a more proficient, more professional officer.	—	—	—	—	—
6. I believe the purpose(s) of the Fitness Report System should be to					
a) aid in annual adjustment of the lineal list	—	—	—	—	—
b) aid in separating personnel who aren't performing	—	—	—	—	—
c) provide feed back to aid the rated officer in developing professional skills	—	—	—	—	—
d) aid in the assignment process	—	—	—	—	—
e) aid command to develop personnel and obtain desired performance	—	—	—	—	—
f) assist in evaluating qualification for promotion					
g) other (please indicate) _____					

APPENDIX B

	Strongly agree	Agree	Neutral	Disagree	Disagree Strongly
7. I believe the Fitness Report System is effective in implementing					
a) aid in annual adjustment of the lineal list	—	—	—	—	—
b) aid in separating personnel who aren't performing	—	—	—	—	—
c) provide feed back to aid the rated officer in developing professional skills	—	—	—	—	—
d) aid in the assignment process	—	—	—	—	—
e) aid command to develop personnel and obtain desired performance	—	—	—	—	—
f) assist in evaluating qualification for promotion	—	—	—	—	—
g) other (please indicate) _____	—	—	—	—	—
8. I feel that a system whereby poor or marginal performers in the grades 0-4 and 0-5 with less than twenty years service could be separated with severance pay would be beneficial to the NOAA Corps.	—	—	—	—	—
9. I feel that a system whereby subordinates rate superior officers would be beneficial to the NOAA Corps.	—	—	—	—	—
10. I feel that a mechanism to incorporate peer group ratings into the Fitness Report System would be beneficial to the NOAA Corps.	—	—	—	—	—

Section II Miscellaneous

11. If I were to weight performance measures of NOAA Corps Fitness Report in Section 8, I would give the heaviest weight factor to the following performance area(s). Leave blank if you consider all areas of equal importance.
- _____

12. What weight should EEO performance receive?
- _____

APPENDIX B

- | | Yes | No |
|---|-----|----|
| 13. Do you recommend deletion of any areas listed in Section 8 as being either too subjective in nature or irrelevant as a performance measure? If so., which one(s)? _____ | — | — |
| 14. Have you ever written a rebuttal to what you consider an unfair fitness report? Mark NA if you have never received what you consider an unfair report. _____ | — | — |
| 15. If you have any comments regarding our Fitness Report System from a rated officers viewpoint, use the space provided below. | | |

Part III - To be completed only by officers who have evaluated subordinates on NOAA Form 56-6

Section I

1. Based on the 100 point total in Section 8, what is the approximate point score that you have given your rated officers? _____
2. What approximate percentage of officers have you rated poor in any category? _____
3. Under Section 9, Desirability, what approximate percentage of officers have you indicated that you
 - a) Prefer Not To Have _____
 - b) Satisfied To Have _____
 - c) Pleased To Have _____
 - d) Prefer To Most _____
 - e) Particularly Desire _____
4. How many officers have you recommended for advancement on the lineal list? _____
5. How many officers have you recommended for separation or a drop in lineal number? _____

APPENDIX B

Section II

	Strongly agree	Agree	Neutral	Disagree	Disagree Strongly
6. I feel the mechanisms for advancement on the lineal list, separation, and setting back on the lineal list are operating properly.	—	—	—	—	—
7. I feel my evaluations are characterized by					
a) an on going process in which I actively coach subordinates and comment on their performance throughout the rating period.	—	—	—	—	—
b) a joint effort by myself and other top members of a command providing input to the evaluation of subordinates.	—	—	—	—	—
8. I feel that training in personnel evaluation would be beneficial to me in aiding me to better evaluate my subordinates.	—	—	—	—	—
9. If you have any further comments concerning our Fitness Report System from a rating officer's viewpoint, use the space provided below.					

PART I

Response #	Present Assignment	Specialty	Grade
1	b	b	ENS
2	a	a	ENS
3	a	a	ENS
4	a	a	ENS
5	c	a	LTJG
6	b	a	LTJG
7	b	b	LTJG
8	b	d	LTJG
9	a	ad	LTJG
10	f	a	LTJG
11	i	d	LTJG
12		a	LTJG
13	f	bd	LTJG
14	f	b	LTJG
15	f	b	LTJG
16	g	d	LTJG
17	g	a	LTJG

APPENDIX B

PART II

Question Number:	1	2	3	4	5	6	a	b	c	d	e	f	g
1	a	b	2	3	4	5	a	b	c	d	e	f	g
2	3	4	2	1	1	2	3	4	4	2	3	3	
3	3	1	1	1	1	1	4	5	5	5	2	4	
4	4	4	4	2	2	3	2	3	5	4	4	5	
5	2	4	2	1	1	2	5	5	5	5	5	5	
6	4	4	5	4	4	4	4	4	4	4	4	4	
7	2	4	2	1	2	2	4	4	4	4	4	4	
8	4	4	2	3	3	3	4	4	4	4	4	4	
9	4	4	1	1	3	1	5	5	5	5	5	5	
10	4	4	4	4	4	4	3	5	5	5	4	4	
11	4	4	3	2	1	3	3	5	4	3	4	3	
12	4	4	3	3	3	4	4	5	4	4	4	4	
13	4	5	5	5	5	3	4	4	4	4	3	4	
14	4	5	4	2	2	1	4	4	5	2	2	4	
15	4	4	3	2	2	1	3	4	5	3	4	4	
16	4	4	4	4	2	2	4	4	4	3	4	4	
17	4	4	4	3	3	3	4	5	4	4	3	5	

APPENDIX B

5=Strongly Agree
4=Agree
3=Neutral
2=Disagree
1=Disagree Strongly

PART I

Response #
Present Assignment

Specialty

Grade

PART II

Question Number:

6

a b c d e f g

18	f	b	4	4	3	4	4	5	5	4	5	4	4
19	g	c	3	4	4	1	1	2	5	5	5	5	5
20	g	b	4	4	4	5	4	2	4	4	4	4	4
21	f	b	2	4	2	2	2	2	3	4	4	3	4
22	g		3	3	3	4	4	4	4	4	4	4	
23	f	b	4	3	3	4	3	4	4	4	4	3	4
24	d	a	4	4	3	1	1	3	4	4	4	4	4
25	b	a	4	4	4	3	3	2	4	4	5	5	4
26	g	a	4	4	4	4	4	5	3	4	4	4	4
27	d	abcd	3	4	2	1	1	2	4	4	4	4	4
28	f	ab	4	4	3	2	3	3	5	4	5	4	4
29	f	b	4	3	3	2	2	3	3	3	4	4	5
30	f	a	3	4	3	3	2	3	4	4	4	4	4
31	d	a	4	4	4	3	2	3	4	4	4	4	4
32	i	a	4	3	3	4	5	2	4	4	4	4	4
33	g	d	5	5	4	2	1	4	5	4	3	4	4
34	g	ad	3	3	4	2	2	4	2	4	4	3	3
35	a	a	3	4	3	2	2	3	5	4	4	3	5

APPENDIX B

5=Strongly Agree
4=Agree
3=Neutral
2=Disagree
1=Disagree Strongly

Response #	Present Assignment	Specialty	Grade	PART II Question Number:												4=Agree 3=Neutral 2=Disagree 1=Disagree Strongly
				1	2	3	4	5	6	a	b	c	d	e	f	g
36	r	ad LT	3	3	3	4	3	3	2	2	2	3	3	3	2	
37	a	d	2	2	2	3	2	3	4	4	3	4	3	4	4	
38	b	a	4	4	4	4	2	2	2	2	4	4	5	4	5	
39	E	b	4	4	4	4	4	3	3	3	2	4	3	4	4	
40	F	b	4	2	2	2	2	2	2	4	5	5	4	5	5	
41	d	a	4	2	2	1	1	2	4	4	5	4	2	2	4	
42	F	a	2	4	4	3	2	3	2	4	4	2	4	3	4	
43	i	a	4	4	4	4	2	3	4	4	4	4	3	4	4	
44	i	c	4	4	4	4	3	3	3	4	4	4	4	4		
45	F	d	4	4	4	4	2	1	3	3	4	5	5	4	4	
46	h	a	4	4	4	4	3	3	5	5	5	4	2	4	4	
47	F	a	4	4	4	2	2	2	3	4	5	5	4	1	4	
48	F	b	3	2	2	1	2	2	2	2	2	2	2	3	3	
49	E	a	5	5	5	2	1	3	4	4	5	5	5	4	5	
50	b	a	3	4	4	4	4	2	3	4	5	5	4	5	4	
51	F	a	3	4	3	1	2	2	3	4	4	4	3	3	3	
52	F	d	4	4	4	3	2	4	4	2	5	5	4	4	4	
53	i	a	5	3	3	1	1	4	5	5	5	5	5	5	5	

PART I

Specialty

<u>PART II</u>	
Question Number	
1	
a	b
2	
3	

q

५

f

०७

5=Strongly Agree
4=Agree
3=Neutral
2=Disagree
1=Disagree Strongly

54	e	c	4	4	4	4	4	4	3	3	4	4	5	5	4	4	4	4	5
55	ci	ad	4	4	4	4	4	4	2	2	2	4	5	5	4	4	4	4	5
56	b	bd	3	4	4	4	4	3	1	1	1	5	5	5	5	5	5	5	5
57	i	d	4	4	3	3	3	3	2	2	3	4	4	4	4	4	4	4	4
58	e	a	4	4	4	4	4	4	2	2	2	5	5	5	5	4	4	4	5
59	a	a	3	4	4	4	4	4	3	4	3	4	4	4	3	4	3	4	4
60	a	d	5	2	2	3	4	4	2	1	1	4	5	5	4	4	5	5	5
61	e	acd	4	5	5	4	4	4	2	1	1	4	5	5	5	1	2	5	5
62	e	d	3	5	4	4	4	4	2	4	2	1	5	5	5	4	4	4	
63	e	a	4	3	3	3	4	3	3	3	2	4	4	4	4	4	4	4	4
64	e	d	3	4	4	4	4	4	2	2	3	4	4	4	4	4	4	4	4
65	b	d	4	4	4	3	3	3	2	1	2	5	5	5	5	4	5	5	5
66		ac	4	4	4	4	3	4	2	4	4	4	4	4	4	4	4	4	4
67	i	a	4	4	4	4	4	4	2	2	2	4	4	4	5	4	4	4	4
68		d	4	4	4	4	4	4	2	3	3	4	5	5	5	4	4	4	5
69	b	a	4	5	4	4	4	4	3	4	2	2	5	5	5	4	4	4	4
70	f	a	3	4	4	4	4	4	4	3	3	5	5	5	3	5	4	4	4
71	i	bc	4	4	4	5	5	5	3	4	4	4	5	5	5	4	5	5	5

PART I

se
t

Question Number:

1 a b 2 3 4 5 6 a b c d e f g
1=Disagree strongly

Grade

2

[illegible]

APPENDIX B

PART I

Response #
Present
Assignment

Specialty

Grade

PART II

Question Number:

5=Strongly Agree
4=Agree
3=Neutral
2=Disagree
1=Disagree Strongly

Response #	Present Assignment	Specialty	Grade	1	2	3	4	5	6	a	b	c	d	e	f	g
90	d	d		4	5	4	4	1	3	5	5	5	5	5	5	5
91	f	ad		4	5	5	3	3	5	5	5	5	4	5	5	5
92	a	c	ICDR	4	4	4	2	2	4	4	5	5	5	4	4	4
93	g	a	CDR	4	4	4	3	2	2	2	4	4	2	4	4	4
94	i	d		4	5	4	3	2	2	5	5	5	4	2	5	5
95	h	d		2	5	3	2	2	3	4	5	4	2	2	5	5
96	b	cd		4	4	4	3	3	4	5	5	5	5	5	5	5
97	h	d		4	4	4	2	3	4	4	4	4	4	4	4	4
98	h	d		4	4	4	3	1	3	5	5	4	4	4	4	4
99	b	d		4	5	4	2	3	1	4	4	5	3	4	4	4
100	h	a		4	4	4	4	2	3	4	4	4	4	4	4	4
101	g	d		3	4	3	1	1	2	4	4	2	4	3	4	4
102	b	a		4	4	2	2	2	2	4	4	4	4	4	4	4
103	i	ad		4	4	3	2	1	2	3	5	4	4	3	4	4
104	a	d		4	4	4	4	2	4	4	5	4	4	4	5	5
105	g	c		5	5	4	4	2	4	4	4	4	4	4	4	4
106	a	d		3	4	3	3	2	3	4	4	5	4	5	4	4
107	a	a		4	4	4	3	3	3	4	4	4	4	4	4	4

APPENDIX B

PART I

Response # Present Assignment

Specialty

Grade

PART II

Question Number:

5=Strongly Agree
4=Agree
3=Neutral
2=Disagree
1=Disagree Strongly

Response #	Present Assignment	Specialty	Grade	1	2	3	4	5	6	a	b	c	d	e	f	g
108		d	CDR	3	4	2	2	1	2	5	4	5	4	2	4	
109	h	d	CAPT	4	4	4	3	2	3	3	4	5	4	4	4	
110	h	d		4	4	4	3	2	4	5	5	5	5	5	5	
111	g	cd		2	2	3	3	3	4	4	4	4	4	4	4	
112	g	ac		5	5	5	3	2	4	3	4	4	3	4	4	
113	g	b		4	4	2	2	2	1	4	3	4	4	4	4	
114	g	d		4	4	4	2	3	4	4	4	4	3	3	5	
115	h	d		2	4	4	4	2	4	5	5	5	5	5	5	
116	h	d	CAPT	4	4	2	4	2	4	4	4	4	4	4	4	
117	h	d	RADM	4	4	4	3	3	4	4	4	4	4	5	4	
118	c	ab	LCDR	4	4	4	4	3	4	4	5	4	3	4	5	
119	h	d	LCDR	3	4	3	3	2	2	4	4	5	4	5	4	
120	c	d	CDR	3	3	4	4	3	2	5	5	5	4	4	5	

APPENDIX B

Response #	a	b	c	d	e	f	g	8	9	10	11*	
1	3	4	3	3	2	3		3	4	5		
2	3	1	2	3	2	2		5	5	4	2,3	
3	3	3	4	4	4	3		3	4	3		
4	4	1	4	1	1	1		5	5	5	1,2,3,4,5	
5	3	2	4	3	2	4		4	5	5		
6	4	4	2	4	2	4		4	5	4	1,2,4,7	
7	3	3	4	4	3	4		5	5	5	1,2	
8	4	4	4	4	4	4		4	5	1	2	
9	2	3	4	3	4	2		5	5	2	1,2,3,5,6,7,8	
10	3	3	4	4	4	3		3	2	1	4	
11	3	1	2	4	2	3		5	4	5	4,5,7	
12	2	4	4	3	4	4		4	4	4	1,2,3,4	
13	3	2	3	4	3	4		5	4	4	2,3,7	
14	2	3	5	4	3	4		4	4	3	1,2,3,4	
15	2	2	4	4	2	2		5	5	5	1,3,7	
16	2	2	3	3	3	3		4	4	4	4,7	
17	5	3	3	3	3	3		5	4			
18	1	1	4	2	4	2		4	1	1	1,2	

*In response to question 11;

1=Job Ability

2=Job Accomplishment

3=Leadership

4=Judgment

5=Initiative

6=Reliability

7=Human Relations

8=Loyalty

9=Self-Expression

10=Officer Bearing

APPENDIX B

Response #	7	a	b	c	d	e	f	g	8	9	10	11*	
19	3	2	1	3	1	3	3		5	5	4		
20	4	4	3	4	3	4	4		5	5			
21	3	4	4	3	3	2	2		4	4	3	1,2,4,6	
22	2	2	4	4	3	3	2		4	1	1		
23	2	2	3	3	3	4	3		4	5	2	1,2	
24	4	4	4	4	4	4	4		5	5	5	3	
25	4	3	4	4	4	4	4		5	2	2	1,2	
26	3	4	4	3	4	4	3		4	5	3		
27	4	1	4	4	4	4	4		5	2	2	1,2	
28	2	2	4	4	4	4	3		5	5	4		
29	3	2	4	4	3	3	3		2	5	4	1,4,5	
30	3	2	4	4	2	4	3		4	5	2		
31	3	2	4	4	3	3	4		4	2	2	2	
32	3	3	4	4	4	3	3		2	5	2	1,2,3,4,6	
33	2	2	4	3	3	4	2		4	2	2	1,2	
34	2	1	3	2	2	3	3		4	4	4	1,2,3,4,5,6	
35	3	2	2	3	3	3	2		5	3	3		
36	2	2	4	3	4	2	4		4	5	3	1,2	

*In response to
Question 11:
1=Job Ability
2=Job Accomplishment
3=Leadership
4=Judgment
5=Initiative
6=Reliability
7=Human Relations
8=Loyalty
9=Self-Expression
10=Officer Bearing

APPENDIX B

Response #	7	a	b	c	d	e	f	g	8	9	10	11 *	*In response to Question 11:
37	4	3	2	3	3	3	3	4	5	5	5	3,7,10	1=Job Ability
38	2	2	3	4	3	3	3	5	5	4	4	1,2,4,5,6,7,9	2=Job Accomplishment
39	3	2	4	3	4	4	4	3	4	4	4		3=Leadership
40	3	1	2	4	3	3	2	5	5	5	5		4=Judgment
41	2	1	4	2	1	2	2	4	5	5	4	3,4,5	5=Initiative
42	3	3	3	3	3	3	3	4	5	5	3	1,2,3,4,7	6=Reliability
43	3	2	4	3	3	3	2	4	5	5	5	1,5,6	7=Human Relations
44	4	3	3	3	3	3	4	4	3	4	4		8=Loyalty
45	3	4	4	4	3	3	4	5	5	5	1	1,2	9=Self-Expression
46	4	2	3	2	2	4	4	4	4	4	4		10=Officer Bearing
47	4	2	2	3	3	2	4	5	5	3	4		
48	3	2	3	2	3	3	3	4	5	5	4	1,2,3,6	
49	4	2	1	4	1	1	2	5	4	4	4	1,2,4	
50	3	2	4	4	4	3	4	4	3	3	2	1,5,6,7	
51	3	4	4	3	3	3	3	3	4	4	4	1,2,3,4	
52	1	2	4	4	4	3	4	4	3	4	4	1,6	
53	4	1	4	4	3	4	4	5	1	1	4		
54	3	3	5	2	3	3	4	4	4	3	3	5,6	

APPENDIX B

Response #	7	a	b	c	d	e	f	g	8	9	10	11*	
55	3	2	4	4	3	3	2		4	4	4	1,2,3,5,6	*In response to Question 11: 1=Job Ability 2=Job Accomplishment 3=Leadership 4=Judgment 5=Initiative 6=Reliability 7=Human Relations 8=Loyalty 9=Self-Expression 10=Officer Bearing
56	2	2	1	3	3	3	1		5	3	3	1,2,3,4	
57	3	4	4	3	3		3	x	3	3	2		
58	3	2	4	4	4	3	2		5	4	3		
59	3	3	3	3	3	3	3		4	4	1		
60	4	1	3	3	3	3	1		4	1	2	1,2	
61	4	1	4	4	2	4	4		5	2	2	1,2,4,5	
62	1	2	4	4	3	4	3		5	3	5	1	
63	3	3	3	3	4	4	4		4	3	3		
64	3	2	2	2	2	3	3		2	3	4		
65	4	2	1	3	3	2	4		5	4	4		
66	4	4	4	4	4	4	4		4	4	4	2,4,5,6,8	
67	4	1	3	1	4	4	2		5	5	5	1,2	
68	3	2	3	3	4	3	4		5	4	4	1,2,4,5,6,7	
69	2	5	5	5	4	4	4		5	2	2	2,4,7	
70	3	5	3	2	4	4	3		5	3	3	1,2,3,4,5,6	
71	2	1	4	3	3	4	3		5	5	1	3,7, and managerial skills	
72	2	1	4	3	3	3	2		4	1	1	1,2,3,4,5	

APPENDIX B

Response #	7	a	b	c	d	e	f	g	8	9	10	11*
73	4	4	5	4	5	4	4		4	2	2	1,2,3,7
74	1	2	4	1	3	3	3		5	3	3	1,2
75	2	2	4	2	3	2	2		4	5	4	
76	3	2	4	3	4	4	4		5	3	5	3,4,6,10
77	4	4	2	4	2	3	3		5	1	1	1,2
78	3	2	2	2	3	1	1		5	3	4	
79	3	4	3	4	3	4	4		4	3	2	
80	2	2	2	4	2	3	3		3	4	1	2,6
81	4	4	2	2	2	4	4		2	1	5	2,4,5
82	3	3	3	4	4	4	4		1	2	2	2
83	3	3	2	4	3	4	4		5	4	4	2,4,6
84	2	4	4	4	5	3	3		3	3	1	
85	4	3	2	4	4	4	4	x	5	1	1	
86	4	2	3	2	3	3	3		4	3	2	1,3
87	3	1	3	4	3	3	3		5	1	4	2,3,4,5,6
88	3	3	2	3	3	4	4		5	4	3	1,2
89	4	5	3	3	4	4	4		4	2	4	attitude towards NOAA
90	4	4	4	3	3	4	4		5	3	3	

*In response to
Question 11:
1=Job Ability
2=Job Accomplishment
3=Leadership
4=Judgment
5=Initiative
6=Reliability
7=Human Relations
8=Loyalty
9=Self-Expression
10=Officer Bearing

APPENDIX B

Response #	a	b	c	d	e	f	g	8	9	10	11 *
91	3	3	5	3	4	3		5	1	1	1,2,3,6
92	4	5	4	4	4	4		5	5	2	
93	2	4	2	4	2	4		2	1	2	
94	4	2	4	3	2	4		5	5	4	1,3
95	3	2	2	2	2	4		5	4	3	
96	1	1	3	1	2	2		5	4	3	1,2,4,5,6,10
97	3	4	3	3	3	4		5	4	4	
98	1	2	2	3	3	3		5	3	3	1,2,3,6
99			2	4	3			4	3	2	
100	4	4	2	4	3	4		4	4	4	
101	4	4	3	3	2	4		4	3	2	1,2
102	3	2	2	3	2	2		4	4	4	
103								3	1	1	3,6
104	4	4	3	3	4	4		4	3	3	
105	3	3	4	3	4	4		2	4	3	
106	3	3	3	4	4	4		3	5	2	3,6
107	4	4	3	4	3	4		3	2	3	1,2,4,5,6
108	1	2	4	2	2	4		5	1	1	

*In response to
Question 11:

- 1=Job Ability
- 2=Job Accomplishment
- 3=Leadership
- 4=Judgment
- 5=Initiative
- 6=Reliability
- 7=Human Relations
- 8=Loyalty
- 9=Self-Expression
- 10=Officer Bearing

APPENDIX B

Response #	7	a	b	c	d	e	f	g	8	9	10	11*
109	4	4	2	3	4	3	4		2	4	4	1,5,6,7
110	4	4	3	4	3	4	4		5	4	4	1,2,3,4.
111	3	3	3	4	2	3	3		4	4	2	1,2,3,4,5,9
112	4	4	4	3	3	4	4		5	2	2	
113	1	3	3	3	4	4	3		2	2	4	1,2,3,4,5,6
114	4	3	3	3	3	3	4		4	2	4	2,3,4,5
115	2	1	1	4	2	3	4		4	5	1	1,2,3,5
116	4	2	2	4	4	4	4		4	2	2	
117	4	4	4	4	3	4	4		4	4	3	
118	4	2	2	4	3	3	2		5	2	1	1,2,5
119	3	2	2	3	4	3	2		4	3	3	2
120	2	2	2	2	2	4	2		5	5	1	1,2

*In response to
Question 11:

- 1=Job Ability
- 2=Job Accomplishment
- 3=Leadership
- 4=Judgment
- 5=Initiative
- 6=Reliability
- 7=Human Relations
- 8=Loyalty
- 9=Self-Expression
- 10=Officer Bearing

APPENDIX B

Response #			
12		13 *	14
1	very little	8 *In response to	NO
2	equal	Question 13:	NA
3		1=Job Ability	NA
4	relatively low	2=Job Accomplishment	NA
5	equal	3=Leadership	NA
6	less than others in Section 8	4=Judgment	NA
7	none	5=Initiative	NA
8	small	6=Reliability	NA
9	none	7=Human Relations	NA
10	equal	8=Loyalty	NA
11	no more or less	9=Self-Expression	NO
12	as applicable in Human Relations and General Comments	10=Officer Bearing	NO
13	part of Human Relations		NA
14	equal		NA
15	minimal		NO
16	some		NO
17	part of Human Relations		NA
18	very little		NA

APPENDIX B

12

13*

14

19 zero

need more explanation of EEO performance

*In response to
Question 13:
1=Job Ability
2=Job Accomplishment

NO

NA

21 should be noted

2=Job Accomplishment
3=Leadership
4=Judgement

YES

22 as much as anything else

NA	5=Initiative
1	1
2	2
3	3
4	4
5	5
6	6
7	7
8	8
9	9
10	10
11	11
12	12
13	13
14	14
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90	90
91	91
92	92
93	93
94	94
95	95
96	96
97	97
98	98
99	99
100	100

23 medium importance

6=Reliability
7=Human Relations

NO

24 substantial if negative performance

8=Loyalty

NA

25 considered under Human Relations

9=Self-expression
10=Officer Bearing

NA

26

NA

27 for all practical purposes, meaningless

NA

28 none

```
redefine 9
```

NA

29 equal

8 NA

30 no more than any other

NO

31 already covered in Human Relations

NA

32 little or none

NO 8

33 none on Fitness Report

YES
NA

no special consideration

address 7,8,9,10 in Section 10-11

35 zero

8

36 marginal

8,10

APPENDIX B

	12		13*	14
			*In response to	
			Question 13:	
37	equal		5 1=Job Ability	YES
38	nil except for negative instances		8 2=Job Accomplishment	YES
39	should demonstrate awareness of		3=Leadership	NA
40			4=Judgment	NA
41	very little		10 5=Initiative	NO
42	same as Human Relations		6=Reliability	NA
43	minimum		7=Human Relations	YES
44	about 50 lbs.		8=Loyalty	NA
45	part of Human Relations		9=Self-Expression	NA
46	small role		10=Officer Bearing	NO
47	equal with Human Relations			NA
48	part of other factor			NA
49	equal to other categories			NA
50	variable			NA
51	too nebulous to rate			YES
52	as much as Human Relations			YES
53	comment on as applicable			NA
54	zero			NA

APPENDIX B

			*In response to Question 13:	
			1=Job Ability	
			2=Job Accomplishment	
			3=Leadership	
			4=Judgment	14
			5=Initiative	
			6=Reliability	
			7=Human Relations	
			8=Loyalty	
			9=Self-Expression	
			10=Officer Bearing	
55	unsure			NA
56	part of other factors			NO
57	it should be a factor	8		NA
58	little			NA
59	as "practiced" or "not practiced"			NA
60	zero - part of other factors			NA
61	zero			NO
62	some, but not heavy			NA
63	little or none	8		NO
64	hard to measure	less to 3,8,10		NA
65	by job and if negative	less to 10		NA
66	little except negative			
67	comes under Leadership	8		NA
68	establish a performance area			NA
69	identify negative instances			NO
70	very little			NA
71	should be weighted by job			NA
72	part of other factors	less to 6,7,8,9,10		NO

APPENDIX B

12			
73	difficult to evaluate		NO
74	zero - impossible to rate		NO
75	very little		NA
76	in Human Relations	10 combine 7, 8	NA
77	little, unless adverse		NA
78	5%	8	NO
79	should be considered, varies with job	*In response to	
80	part of Human Relations	Question 13:	NO
81	falls under other items	1=Job Ability	NA
82	equal to others	2=Job Accomplishment	YES
83	same as others	3=Leadership	YES
84	note if adverse	4=Judgment	NO
85	none - already covered by other factors	5=Initiative	NO
86	marginal	6=Reliability	NA
87	believes in, but not as catagory in report	7=Human Relations	NO
88	falls under other factors	8=Loyalty	NO
89	less than 15%	9=Self-Expression	NA
90	zero	10=Officer Bearing	NO

APPENDIX B

			*In response to Question 13:	
			1=Job Ability	
			2=Job Accomplishment	
			3=Leadership	14
		13*	4=Judgment	
			5=Initiative	
			6=Reliability	
			7=Human Relations	
			8=Loyalty	
			9=Self-Expression	
			10=Officer Bearing	
91	incorporate into Human Relations			NA
92	zero			NO
93	very little - identify negative instances			NA
94	enough to identify negative instances			NA
95	covered by other factors			NO
96	10%			YES
97	5%			NO
98	separate evaluation with special counseling if required			NA
99	considerable emphasis where applicable			NA
100	equal or less than equal			NA
101	should be noted			NA
102	same as others			NO
103	zero			NO
104	equal	combine 3,4		NA
105	comment on in Section 11			NA
106	equal			YES
107	same as 7,8,9,10			NO
108	what is EEO performance?			YES

APPENDIX B

12		13 *	14
109	depends on job		
110	equal to 5,6,7,8,9,10	4,8,10	NA
111	same as 1,2,3,4,5,9		
112	5%	8,10	YES
113	falls into Human Relations		NA
114	10% but how to evaluate?		YES
115	n/a to most assignments		NA
116	considerable weight		YES
117	same as others		NA
118	very little		NO
119	zero		NO
120	include in Human Relations		NA

*In response to
Question 13:
1=Job Ability
2=Job Accomplishment
3=Leadership
4=Judgment
5=Initiative
6=Reliability
7=Human Relations
8=Loyalty
9=Self-Expression
10=Officer Bearing

APPENDIX B

PART III

# Responses	Question Number:										8	Questions 1, 4 and 5 have integer responses except where noted				
	1	2	3	a	b	c	d	e	4	5			6	7	a	b
27	70	0	0	50	0	0	0	50	0	0	2	3	4	4	3	For questions 6, 7, and 8, 5=Strongly Agree 4=Agree 3=Neutral 2=Disagree 1=Disagree Strongly
37	70	5	10	40	40	10	0	0	0	0	3	2	3	3	4	
57	75	5	0	10	30	50	10	10	2	0	4	3	4	4	5	
64	72	0	0	10	60	20	10	10	0	0	3	4	4	4	4	
67	70	5	0	10	50	30	10	10	0	0	1	2	4	4	2	
68	68	0	0	10	60	20	10	10	0	0	3	4	5	4	4	
71	78	1	5	15	60	15	5	5	1	0	2	5	4	4	3	
72	50	25	25	0	25	25	25	25	0	0	1	3	4	4	4	
73	85	10	0	10	50	30	10	10	0	0	4	5	3	3	5	
76	86	0	0	0	0	50	50	50	0	0	4	2	3	3	3	
78	70	1	0	3	90	7	0	0	0	0	2	3	4	4	3	
80	80	0	0	20	40	20	20	20	2	0	3	4	2	4	4	
82	75	0	0	0	50	50	50	0	0	0	2	4	4	4	4	
83	70	0	0	10	60	20	10	10	3	0	3	2	4	4	4	
84	75	20	0	0	20	60	20	20	0	0	3	5	4	4	4	
86	77	0	0	10	50	30	10	10	0	0	3	4	2	4	4	
87	84	0	0	9	9	17	65	0	0	0	2	3	4	4	5	
88	68	3	10	10	30	30	20	15%	15%	0	3	4	4	4	4	
90	70	10	10	0	0	90	0	0	0	0	3	4	4	4	4	

For questions 6, 7, and 8:
 5=Strongly Agree
 4=Agree
 3=Neutral
 2=Disagree
 1=Disagree Strongly

PART III

APPENDIX B

Questions 1, 4 and 5
have integer responses
except where noted.

#	Response	Question Number:										Questions 1,4 and 8 have integer responses except where noted							
		1	2	3	a	b	c	d	e	4	5	6	7	a	b	8			
93	65	5	10	10	40	20	20	20	0	2	2	2	4	4	4	4			
94	75	5	5	5	10	40	30	15	4	0	1	2	4	3	and 8:	For questions 6,7			
95	70	5	5	5	10	45	30	10	2	1	2	4	4	4	5=Strongly Agree	4=Agree			
97	78	1	0	0	10	60	20	10	0	1	2	4	3	4	3=Neutral	2=Disagree			
98	80	10	0	0	10	60	20	10	0	0	1	3	2	4	1=Disagree	Strongly			
100	80	1	0	0	5	60	25	10	0	0	3	2	4	2					
101	55	0	0	0	15	70	15	0	0	0	3	5	5	4					
103		0	0	0	10	80	10	0	0	0		4	5	5					
104	75	10	10	10	10	30	40	10	0	1	4	5	4	3					
105	70	0	0	0	20	60	10	10	0	0	4	4	5	3					
106	70	5	0	0	20	30	40	10	0	0	3	4	4	5					
107	75	5	5	5	0	50	40	5	0	1	3	4	4	4					
108	80	5	0	0	5	30	40	25	2	0	1	4	4	3					
109	82	5	5	5	15	20	50	10	0	0	2	4	4	4					
110	80	5	0	0	5	35	50	10	5	0	1	4	4	3					
111	80	2	0	0	20	40	30	10	2	0	2	4	4	4					
112	70	3	0	0	0	20	60	20	0	0	4	3	4	4					
113	82	1	0	0	10	20	60	10	0	0	4	4	4	4					
114	68	2	2	2	8	60	20	10	5	4	2	4	4	4					

PART III

APPENDIX B

Response #	Question Number:							
	1	2	3	a	b	c	d	e
115	80	0	0	10	10	60	20	1
116	75	0	0	0	50	25	25	0
117	75	0	0	5	5	90	0	0
119	85	0	0	0	0	50	50	0
120	75	0	0	11	44	22	22	1

Questions 1, 4 and 5
have integer responses
except where noted.

Questions 2 and 3
have % responses.

For questions 6, 7
and 8:
5=Strongly Agree
4=Agree
3=Neutral
2=Disagree
1=Disagree Strongly

APPENDIX C

SELECTED REFERENCES FROM THE NOAA CORPS BULLETIN

U. S. DEPARTMENT OF COMMERCE / National Oceanic and Atmospheric Administration



NOAA CORPS BULLETIN

INFORMATION OF INTEREST TO NOAA COMMISSIONED OFFICERS

Volume 4, Number 12

1 October 1974

PAY RAISE - THREE WAY SPLIT

Public Law 93-419, approved September 19, 1974, revised the method of allocating comparability pay increases for active duty members of the uniformed services. All pay raises on and after September 19, 1974 must be distributed equally among basic pay, quarters allowances and subsistence allowance. For example, on October 1, 1974 General Schedule Civil Service employees received a 5.52% pay increase. The new law requires that the basic pay, quarters allowances and subsistence allowance for uniformed service members each be increased by the same 5.52%. The new October 1, 1974 pay rates are shown in the attached pay table.

NOAA PERSONNEL HANDBOOK

The NOAA Personnel Handbook describes detailed procedures for "employees" filing grievances and appeals. NOAA Corps officers do not fall within the legal definition of "employees" and therefore are not covered by such directives unless the directive specifically covers "all NOAA employees and commissioned officers." All officers should, however, understand that, although certain procedures are not applicable, the Director, NOAA Corps believes that similar mechanisms should be available for officers.

At present, officers being considered for actions which could be considered as "adverse" are notified by the Director of the recommendation of the Officer Personnel Board. They are given ample opportunity to rebut the charges and in serious cases are invited to meet with the Board if they so desire. In extremely serious cases they may be ordered to meet with the Board. If they desire they may bring a lawyer to the hearings. Upon review of the record the Director acts upon the Board's final recommendations.

The test applied to all decisions of this kind is whether a disinterested third party would arrive at the same conclusion upon review of the documentation. In doubtful cases the Board itself usually resolves them in favor of the individual.



APPENDIX C

While not required to do so, the Director will, upon request of the individual officer, forward the complete file to the Associate Administrator for final review. This will be done to insure that a fair and impartial result has not only been produced, but that the officer himself may be reassured. In extremely serious cases, the President himself could be asked to revoke the commission of an officer.

PROMOTION TO LTJG AND PROMOTION REGULATION CHANGE

Based on the presently authorized strength of 358, the NOAA Corps is limited to 293 officers in those grades above ensign. Projections concerning appointments, resignations and retirements show that about mid-October 1974, this ceiling will be reached. Thus, at that time, the promotion from ensign to lieutenant (junior grade) can no longer be effected upon completion of fifteen (15) months of service, and promotions can be made only as vacancies occur, i.e., someone resigns or retires - then someone gets promoted.

The present projections for resignations and retirements show that this situation will exist through the remainder of this fiscal year. It is too early to make predictions for FY76, but there is a ray of hope on the horizon. The FY76 NOAA budget contains an increase of 30 officers which would raise the authorized strength from 358 to 388. If this passes, it appears that promotions to lieutenant (junior grade) would move back in line with current policy.

Officers who are entering the zone at this time are reminded that timely completion of the course requirements with certification to Commissioned Personnel Division is very important. In the early months of this year, when promotions were being made as vacancies occurred, a number of problems were brought out because of late course completions. The present regulation (NDM 56-46 "Commissioned Officers-Promotion") does not adequately define late completion of the promotion requirements. Thus, the Officer Personnel Board has recommended and R. Adm. Nygren has approved that the regulation be amended as follows:

- (1) All officers are considered to have sufficient time in which to complete the requirements prior to the date of eligibility, except in those cases where advanced standing has been granted.
- (2) It is the responsibility of the officer to furnish the Chief, Commissioned Personnel Division with copies of the final course completion certificate/grade report proving satisfactory completion prior to the date of eligibility.
- (3) If the written examination or final course completion certificate/grade report has not been received by the Chief, Commissioned Personnel Division prior to the date of eligibility, but is received prior to the occurrence of the vacancy; then the officer shall not be penalized.

APPENDIX C

U.S. DEPARTMENT OF COMMERCE / National Oceanic and Atmospheric Administration



NOAA CORPS BULLETIN

INFORMATION OF INTEREST TO NOAA COMMISSIONED OFFICERS

Volume 5, Number 1

1 November 1974

CAREER COUNSELING PROGRAM RECOMMENDED

In recent years NOAA has expanded to encompass many diverse disciplines and professional interests related to the oceans and atmosphere. The NOAA Corps has grown to meet these needs. As a result, we have officers in a spectrum of scientific fields ranging from electronics and geodesy to atmospheric physics and fisheries management.

The recent OPERATION FORESIGHT Conference recognized a future role for Corps officers as mobile scientists/managers in a variety of scientific areas. To fulfill the Corps' expanded mission, they recommended that an active career counseling program be established to acquaint young officers with professional opportunities in NOAA. This service would provide a mechanism whereby officers with similar career interests could communicate on a personal basis to discuss common problems, such as possible assignment openings, graduate training potential and professional development. The counselor could also act as feedback to the Assignment Board in its deliberations.

The Director, NOAA Corps, would like to solicit your help in creating a pool of experienced Corps officers who would be willing to provide counseling in their special technical area on request. If response to this proposal is favorable, this office will publish a list of participants, broken down by geographical area and field(s) of interest (e.g., Coastal Mapping and Charting; photogrammetry, tides and currents). If you would like to become involved with this program, please advise in writing, indicating the particular area(s) in which you feel most competent to counsel. This is a voluntary program and only you can help. Response should be directed to Director, NOAA Corps (NC), Rockville, Maryland 20852.

MOUNT GESTER

In a recent listing of 36 new Antarctic feature names honoring uniformed service personnel having served in support of U.S. scientific research in the Antarctica, Lieutenant Ronald J. Gester, former NOAA Corps officer, was included as one to have a mountain officially named "Mount Gester." The name, proposed by the Advisory Committee on Antarctic Names and cleared



APPENDIX C

U. S. DEPARTMENT OF COMMERCE / National Oceanic and Atmospheric Administration



NOAA CORPS BULLETIN

OFFICIAL INFORMATION FOR NOAA COMMISSIONED OFFICERS

Volume 5, Number 5

1 March 1975

INCREASE IN AUTHORIZED STRENGTH

The President's budget to Congress contains the following under Science and Technology, NOAA: Quote. For expenses necessary for the National Oceanic and Atmospheric Administration.....expenses of an authorized strength of 388 commissioned officers on the active list; pay of commissioned officers retired in accordance with law and payments under the Retired Serviceman's Family Protection and the Survivors Benefit plans:..... Unquote.

INTERNATIONAL WOMEN'S YEAR

As you may know, the United Nations has designated 1975 as International Women's Year in order to recognize and highlight the contributions women are making at every level of our society in all parts of the world. The President has issued a proclamation asking that we all work together to make 1975 an outstanding year for women in the United States, with special emphasis on support of the activities and observances to be arranged under the auspices of the United Nations.

Dr. Robert M. White in a NOAA Week message stated recently the intent in 1975 "to turn the spotlight on the specific accomplishments of women in NOAA as part of our observance of International Women's Year."

The Administrator went on to say that he looked forward to "NOAA's developing and expanding career opportunities for women through aggressive recruitment and training programs in professional, technical and administrative disciplines."

The Director, NOAA Corps and representatives of his office have been actively engaged with the EEO Committee of NOAA including the Subcommittee for Women; and with the NOAA Federal Women's Program Coordinator. Since our women commissioned officers have generally been on field assignments to date, this facet of EEO has been covered by the NC staff.

This year it is planned that EEO Awareness Day will consist of two luncheon meetings with key speakers in the Washington, D. C. area, focusing on the International Women's Year. All those Washington area commissioned officers, as possible, are urged to attend these luncheons, the first of which is scheduled for April 25, 1975 at Bolling Air Force Base Officers Club. Please be on the lookout for the posted details.

OPERATION FORESIGHT--AN INTERNAL REVIEW OF NOAA CORPS FUTURE

The NOAA Corps has been scrutinized, evaluated, audited, and probed regularly; this is certainly proper. These exercises, with several exceptions, have been performed by agencies outside of the Corps itself. The most recent internal speculation took place several years ago. It was deemed important, therefore, to review the Corps mission and methods, but to do it "in the family," in a free-wheeling imaginative style, and in a modest way. Thus, in September 1974, arrangements were made for a two-day conference of representative officers from the Washington Metropolitan Area to make this inquiry into the long-range evolution of the NOAA Corps (a picture appears in NOAA Week, October 18, 1974).

Conclusions

1. Priority for NOAA Corps involvement in national program requirements (emphasis on collection and analysis of environmental data).

- | | | | |
|----------------------------------|---|----------------|--|
| 1. Mapping, Charting,
Geodesy | 2. Oceanography
A. Physical
B. Chemical
C. Biological, including Fisheries | 3. Atmospheric | 4. Earth Sciences
A. Seismology
B. Geology
C. Land Measurement
D. Land Ecology |
|----------------------------------|---|----------------|--|

APPENDIX C

11. Potential assignment in above programs would evolve through such elements as the following: Acquisition, processing, analysis, assessment and decision-making, products and services, problem-related research (direct or future program support), environmental monitoring, "Think Tank" research, and higher echelon program administration, management, and coordination (national and international).

Finally, no direct part in enforcement activities was envisaged for NOAA Corps.

III. What would impact be if NOAA Corps were dissolved?

1. Initially very little.
2. The gradual eroding of positive features such as; lack of personnel mobility, lack of structure aboard ship, etc.
3. The gradual reinvention of all the present elements of Commissioned Corps in perhaps a slightly different form or perhaps segmented, but nonetheless, essentially with our makeup.

IV. If there were not a NOAA Corps, what are the reasons for inventing one?

1. The first reason is connected with mobility, both in the sense of change of duties and in permanent change of station.
 - A. Benefits of Corps-type mobility:
 - (1) Changes of assignments stimulate the mental activity of the Corps since new and fairly objective thoughts are given to projects undertaken.
 - (2) Top management is afforded great flexibility and utilizes a segment in human resources for filling short term functions or in changing functions; for instance, a LCDR can be utilized in filling a GS-14 position or a GS-12 position.
 - (3) Mobility provides a mechanism for handling a remote duty task of a varying nature.
 - (4) It provides cross-pollination with other members of NOAA and the Corps.
 - (5) It provides a climate for the development of management generalists.
 - B. Deficiencies
 - (1) It can impede or inhibit technical specialists (which may be beneficial).
 - (2) Learning time losses exist in this mode of operation.
 2. The second positive aspect of the Corps; personnel structure (the grade is attached to an individual as opposed to a grade attached to a position).
 - A. Benefits
 - (1) The officer possesses more objectivity than his Civil Service counterpart because of the nature of the competition for advancement. By scrambling over others, he will not enhance his position; i.e., he is probably more secure in his position and will be promoted unless he does poorly.
 - (a) There is a charisma associated with group identity which generates esprit de corps.
 - (2) Sea operations are enhanced.
 - (a) Operational efficiency exists due to a specific organizational structure aboard the ship.
 - (b) A broad or balanced overview is within the officer's grasp; this means, for example, that an officer would know better than to try to dock a ship under certain hazardous conditions. A scientist, however, may not know this information, furthermore, he is obligated to concentrate on the strictly scientific aspects of the operation.
 - B. Deficiencies
 - (1) Because of the nature of the structure, talented and hard-working officers may not necessarily be rewarded for their talents and hard work.
 - (2) Specialization and depth of knowledge are inhibited in some measure since the officer should be both a "ship driver" and a scientist.
 3. Uniforms
 - A. Benefits
 - (1) Role identification and discipline are the leading positive factors associated with the uniform.
 - (2) The NOAA Corps uniform represents an association with traditional seagoing officers.
 - B. Deficiencies
 - (1) Sometimes there is a derogatory connotation associated with the military-type uniform.
 - (2) Setting oneself apart has certain negative aspects; i.e., there is always some resentment toward people who set themselves apart from others, particularly by those who exhibit non-leader traits.
 4. Commissioned status
 - A. Benefits
 - (1) There is the over-present question as to when we could be transferred to the armed services. In times of emergency there should be easy assimilation.
 - (2) The Commission again, through the titles and ranks, re-enforces our role identity.
 - B. Deficiencies
 - (1) Again, the connotation of the military may not be beneficial.
- V. A view of the NOAA Corps by 1984.
1. In 1984 NOAA, or its successor, will be involved in a larger number of technical and scientific disciplines. This will require that the NOAA Corps be made up of officers with a larger variety of technical backgrounds, even more Ph.D.'s.
 2. All officers should begin their careers with a technical base; sea duty must be an early part of the career. Toward the latter part of their careers the great majority of officers will be generalists with background specialties in various disciplines.
 3. By 1984, data acquisition and analysis will be much advanced and there will probably be much less "hands on" in the process. The Corps officer will be a designer, coordinator and/or manager of data systems, data acquisition and data analysis.

APPENDIX C

Recommendations

I. With Respect to NOAA Corps by 1984:

1. There may be a considerable increase in contractual projects or contract work in connection with projects. Officers, with the proper credentials, should be assigned to coordinate and manage these contracts.
2. NOAA should not recruit Ph. D's; but rather should make a concerted effort to develop Ph.D's within the Corps through various training programs and full-time graduate school assignments.
3. The Director of NOAA Corps should look on a continuing basis at roles officers should play in NOAA.
4. By 1984, the Corps should be increased in size to meet the growing opportunities and responsibilities in FOE's where officers have not traditionally served. The FOE should initiate the necessary justification. To meet these requirements and still stay wet, the Corps will probably require at least a 2 to 1 ratio of shore billets to sea billets.
5. Makeup of Corps by 1984

<u>Element of NOAA</u>	<u>Number of Officers</u>
National Geodetic Survey	25
26 Ships	200
Headquarters (Building 5)	75
Headquarters (NOS)	120
PMO and AMC	30
NWS	50
EDS	15
NESS	15
ERL	50
Fisheries	50
Miscellaneous	20
TOTAL	650

II. Officer Personnel Board (OPB) and Officer Assignment Board (OAB)

1. A lot of time is presently spent by members of the OAB and OPB in digging out information on individual officers. The personnel records and billet descriptions should be computerized.
2. The selection-out process as exists should be actively used at all levels. We concur with present selection policies.
3. We recommend that commanding officers of NOAA vessels be selected solely on their experience and fitness for command; we endorse the concept that not all officers must have a command.
4. We recommend that at least one officer of the rank of Commander or Lieutenant Commander be included on the OPB.
5. We recommend that no member of the OPB serve for more than four years.
6. We recommend that one member of the OAB be assigned full time to the OAB.
7. Flexibility should be created in the selection criterion so as to allow for a more expanded Commissioned Corps.

III. Education and Training Posture of NOAA Corps:

1. Priorities should be set regarding advanced training and education to reflect the mission and requirements of NOAA.
2. Advanced training and/or advanced education should be a mandatory requirement for all officers. This is in addition to training or education completed, at the time of the officers' initial appointment.
3. There should be formal (12-18 months) academic training approximately every six years throughout an Officer's career.
4. There should be inhouse training on the various facets of NOAA periodically. This should be accomplished through seminars, bulletins, courses, road shows, etc.
5. We recommend that the Director, NOAA Corps, expand his budget for the purposes of controlling part-time training. We feel that his perspective would be better from the overall NOAA Corps standpoint. The immediate supervisor, however, might better judge the specific program need.

IV. Counseling

1. There should be a sponsor for each and every officer in the Corps with highly active counseling at every opportunity.

V. Epilogue

1. We find that many of these recommendations have been promulgated before, and not implemented. We therefore recommend that each of us be furnished rationale for not accepting recommendations.

SPECIAL RECOGNITION

The Director, NOAA Corps takes great pleasure in reporting the following special recognition of Corps officers:

Commander James G. Grumwell has received a Letter of Commendation from Director, NOS (and the Associate Administrator for Environmental Monitoring and Prediction) in recognition of work well done by both Commander Grumwell and Mr. Frederick Sergio of OFO, in connection with their very significant contributions during the equipment installation and final staging for GATE, and through the de-staging operations.

Lieutenant Commander John C. Albright has been recognized for Outstanding Performance by the Director, Pacific Marine Center, NOS, with a Cash Award. He was cited for sustained outstanding performance as Operations Officer, NOAA Ship FAIRWEATHER, particularly in areas of operations efficiency and economy.

APPENDIX C

U.S. DEPARTMENT OF COMMERCE / National Oceanic and Atmospheric Administration



NOAA CORPS BULLETIN

OFFICIAL INFORMATION FOR NOAA COMMISSIONED OFFICERS

Volume 5, Number 5

1 April 1975

VOLUNTEERS FOR CAREER COUNSELING

The Director, NOAA Corps is pleased to announce the names of those officers who have expressed their willingness to provide counseling to younger officers in need of career-related information. As we have stated in the November 1974 and January 1975 issues of the Corps Bulletin, we sincerely hope that this service will provide the mechanism whereby officers with similar career interests can communicate on a personal basis, to discuss common problems, such as possible assignment openings, graduate school potential and professional development.

To date, the following officers have volunteered to participate.

Captain C. William Hayes, Code MM4/NOAA, WSC-5, Rockville. Tel. 301-496-8291. Principal area of interest: Public Administration.

Commander Robert L. Sandquist, Code RFX92; RFC, FOG/ERL/NOAA, 3400 NW 59th Ave., P. O. Box 480197, Miami, FL 33148. Tel. 305-526-2936. Principal areas of interest: Aviation including large and small aircraft operations, staging and logistical requirements, severe weather flying and airborne remote sensing; and Related Program Missions including planning and operations.

Commander John D. Bossler, Code Clx2; NGS, NAD/NOS/NOAA, Rockwell Bldg., Rockville. Tel. 301-496-8100. Principal area of interest: Earth sciences, particularly geodesy.

Commander James Collins, Code Clx1; NGS/NOS/NOAA, WSC-1, Rockville. Tel. 301-496-8710. Principal areas of interest: Geodesy and hydrography.

Commander Richard H. Allbritton, Code W161, NWS/NOAA, Gramax, Silver Spring, Md. 20910. Tel. 301-495-7382. Principal areas of interest: Ocean sciences and research, particularly as related to the missions of ERL, NWS, etc.

Commander John W. Carpenter, Code C17, NGS/NOS/NOAA, WSC-1, Rockville. Tel. 301-496-8792. Principal area of interest: Geodesy.

Lieutenant Commander Carl W. Fisher, Code C33, NSAM/NOS/NOAA, WSC-1, Rockville. Tel. 301-496-8274. Principal area of interest: Physical oceanography.

Lieutenant Commander A.Y. Bryson, NOAA Ship Townsend Crowell, PMC/NOS/NOAA, 1801 Fairview Avenue East, Seattle, WA 98102. Principal areas of interest: Manned undersea activities, including habitats, submersibles and diving.

Lieutenant Donald L. Suloff, NOAA Ship Peirce, AMC/NOS/NOAA, 439 West York Street, Norfolk, VA 23510. Principal areas of interest: Hydrography, airport surveys and coastal mapping.

Lieutenant Craig S. Nelson, PEG/NMFS, 2 Fleet Numerical Weather Central, Monterey, CA 93940. Tel. 408-375-0333. Principal areas of interest: Physical/fisheries oceanography. Also information on the Naval Postgraduate School at Monterey, CA.



APPENDIX C

Counselors are asked to provide appropriate and constructive feedback to this office and/or the Officer Assignment Board. Other interested officers are invited to join this voluntary program, and may do so by memo directed to the Director, NOAA Corps, Code NC, Rockville, Maryland 20852.

NOAA AWARD RIBBONS

After much thought, over a year's worth of review, and the usual amount of administrative and logistical exchange with DDC, NOAA and the U.S. Army's Institute of Heraldry, the NOAA Corps has finally procured a small stock of its very own ribbons, authorized by DDC to be worn by uniformed recipients of two NOAA awards.

One has been designed for the following:

- a. Award for Engineering and Application is to annually recognize employees for significant contributions in engineering or applications development. It should stimulate further contributions from engineering or other professional or technical personnel to the engineering and applied technology programs of NOAA.
- b. Program Administration and Management Award is to annually recognize NOAA employees for significant contributions in the management or administration of NOAA. It should stimulate further contributions from both scientific and non-scientific areas.
- c. Award for Scientific Research and Achievement is to annually recognize NOAA employees for significant contributions to scientific research and achievement. It should stimulate research activity, attract and retain outstanding scientific personnel, and enhance the image of NOAA.
- d. Award for Public Service is to annually recognize NOAA employees for significant contributions in the public service program. It should stimulate further contributions from both scientific and non-scientific areas.

The above are very prestigious awards to individuals, and only a limited number are given out each year. A special committee of executives of recognized standing will review the nominations of the proposed candidates and make appropriate recommendations concerning selection of the award recipients.

The final selection will be made by the Administrator of NOAA.

The second ribbon has been designed for:

- a. NOAA Unit Citations. The purpose of this award is to recognize groups of employees in NOAA who, because of their individual and collective efforts, have made substantive contributions to the programs or objectives for which NOAA was established.

Final approval will be made by the Administrator of NOAA following consideration by and the recommendation of the NOAA Manpower Utilization Council. Award consists of a unit plaque, individual certificates, and a ribbon to the officer recipient. These unit citations rank with the above-listed awards for individuals.

Second awards for either of the above ribbon designs will be denoted by a 5/16" bronze star superimposed on the ribbon.

This office also assisted the Association of Commissioned Officers in the selection of a ribbon, to be worn by recipients of ACO's Junior Officer of the Year Award. This ribbon is now in stock and has been approved for wear on the official uniform.

All three of the above ribbons were attractively designed by the Institute of Heraldry in bars of white on two shades of blue, thus initiating a NOAA "family" of colors.

Arrangements for the issuance of these ribbons to past recipients will be announced as soon as possible in a forthcoming Bulletin.

SPECIAL RECOGNITION

The Director, NOAA Corps, takes great pleasure in reporting the following special recognition of Corps officers:

Lieutenant Robert S. Zider has been awarded a Special Achievement Award with cash award in recognition of superior performance as advance United States Office Representative in the coordination of GATE preparations with the Government of Senegal, construction contractors and the U. S. Embassy.

Lieutenant Thomas W. Ruzala has been awarded a Special Achievement Award with cash award in recognition of sustained superior performance in the planning and execution of GATE, serving principally in the

APPENDIX C

U.S. DEPARTMENT OF COMMERCE / National Oceanic and Atmospheric Administration



NOAA CORPS BULLETIN

OFFICIAL INFORMATION FOR NOAA COMMISSIONED OFFICERS

Volume 5, Number 12

1 October 1975

FROM THE DIRECTOR'S DESK

Quote from Alfred North Whitehead in "Science and the Modern World": The rate of progress is such that an individual human being, of ordinary length of life, will be called upon to face novel situations which find no parallel in his past. The fixed person, for the fixed duties, who, in older societies was such a godsend, in the future will be a public danger."

GUIDELINES FOR OFFICER PROMOTION

An officer's professional qualifications, fitness, and potential for promotion are determined by (1) analyzing his entire record, and (2) the judgment, collectively, of the Officer Personnel Board. In determining his/her worthiness for promotion, the analysis and deliberations of the Officer Personnel Board comprises:

A. General

1. Demonstrated ability to solve problems, make decisions, and assume increased responsibility.
2. Professionally competent with self-improvement exhibited.
3. Proficiency in present and past assignments weighing:
 - a. degree of level of responsibility
 - b. types of assignments and duties performed
 - c. magnitude of input into operations
 - d. trend of proficiency - up or down
4. Length of service*, seniority.
5. Leadership, maturity - the ability to manage.
6. Moral standards, character, service attitude, officer bearing, devotion to duty.
7. General physical condition - USPHS recommendations tempered by service requirements.

B. Fitness Reports

A detailed review of the Fitness Reports presents the most sound judgment for selection for promotion. The paragraphs on special skills and general comments on performance of duty accentuates the strengths and weaknesses and, over a period of time, establishes a pattern of performance. The numerical score by itself cannot be utilized as a promotion deterrent due to the impossibility of deriving correction factors. Thus, examination of the Fitness Reports must be tempered by:

* Length of service requirements on page 3.



APPENDIX C

1. the type of observation (familiarity of the rater with the ratee) - daily or infrequent contact,
2. length of assignment covered and time in the assignment,
3. "Personal equation" of the rater - trend of his ratings and evaluations, and,
4. possibility of "personality conflict."

C. Command

Command responsibility requires an officer to demonstrate his/her capacity to exercise authority over an activity or sphere of operation. Command responsibility allows, and at the same time requires, an officer to bring his skills as a manager of personnel, facility, and fiscal resources to bear against a job to be done. This capacity to command well, above all others, provides demonstration of the greatest variety of abilities for evaluating an officer's present and future potential as a manager of a major activity in NOAA. Each officer should strive to qualify in this capacity. Proficient performance in a command assignment is evidence of the officer's leadership and professionalism.

However, in the assignment selection process, being placed in command (or similar) position is a matter over which the officer may have little control. Lack of command experience will not become a factor in considering the officer, if this factor is due to the exigencies of the service and is not due to his/her willful avoidance or ineptitude. The Officer Personnel Board critically reviews all available information regarding the officer in determining his/her promotion status (as is also the procedure for determining lineal placement).

Expanding the general concept of command versus the various grades, the following potential capability should be demonstrated for:

1. Captain - Class I Ship, director or associate director office, chief of major operational division, staff policy development assignment.
2. Commander - Class II Ship, division chief, staff program control assignment, aircraft coordination.
3. Lt. Commander - Class III Ship, branch chief, staff coordination assignment, aircraft command, chief of party,
4. Lieutenant and below - assignments programmed for development and experience aboard ship, field-at-large, aviation, operational shore offices, and administration.

D. Staff

The Corps has need for both good staff officers, and commanders. An officer who has demonstrated his competency in both areas is of far greater value to NOAA than the individual who excels in only one. Staff assignments require, in addition to problem solving, the ability to communicate with superiors and subordinates. The Officer Personnel Board's evaluation of compatible command and staff responsibilities is stated above.

E. Specialization

NOAA is broadening its requirements for specialized abilities. Thus, selections for promotion are becoming more difficult and more important as new criteria for specialized talents become increasingly important. To maximize the officer's strength and potential in a scientific or technical field, particular assignments, coupled with an educational and developmental pattern, must be followed. NOAA, with its myriad disciplines and phases, has fields of specialization uniquely accommodatable or fitting for a multiplicity of career ladders. Career planning patterns must be restrictive -- no individual can become an expert or even reasonably proficient in all operational and scientific fields -- and acknowledge specialization in comprehensive marine surveys, aviation, geodesy, geophysics, oceanography, biology, meteorology, etc.

Technological breakthroughs and legislative charges demand that continually NOAA develops and maintains the ability to manage, coordinate, manipulate, and maintain new systems and concepts. In some critical specialty areas, specialized education and assignments are required for proficiency. Depending upon the particular aptitude of the officer, and NOAA's relative priority or demand for this particular ability, the officer-specialist may serve in various combinations of repetitive assignments. When evaluating specialists and generalists, the contributions being borne and the demonstrated ability and indicated potential of each must be weighed.

APPENDIX C

Due to exigencies of the Corps some officers have had considerable post-graduate schooling while on active duty, while others have been denied the opportunity due to no fault of their own. The career record and potential of the officer is paramount, with post-graduate education not accentuated.

F. Derogatory Information

The relative importance of derogatory information, as it affects promotion/lineal position, is the purview of the Officer Personnel Board, determined by collective judgment. The greatest weight is given to information pertinent to the most recent years of service--the Board having previously considered items of significant interest in previous years. Mistakes chargeable to honest but misguided effort (i.e., errors of commission versus errors of omission) should not militate against favorable assessment of potential. When inexperienced officers are exposed to heavy responsibility and problem solving there is inherent opportunity to make mistakes. Undue consideration of derogatory comments will not be given when followed by continuous proficient performance of duty.

Incidents of a disciplinary action, or failure in integrity, are weighed against the officer's career record. Thus, a good officer can atone for past indiscretions with no repercussions. However, non-selection properly can be based on a major disciplinary action, by failure in integrity, or turpitude.

G. Educational Requirements

As an officer progresses through his/her career, each officer must seek and successfully complete periodic training to improve supervisory, managerial, and professional skills. By statutes - 33 USC 833j and 854--a mental examination, as well as a physical examination, is required for promotion. The Officer Personnel Board must assure that the officer being considered for promotion is developing professionally.

Prior to being considered for promotion to LTJG, one correspondence course is required and for promotion to LT, two additional courses. One of the three courses must be CELNAV unless waived under NDM 56-46.

For promotion to LCDR, an essay examination is required on specified topics on NOAA's purpose, programs, organization, and effectiveness, and the role of the NOAA Corps. A bibliography is furnished each LT in preparation for this examination. Suggested programmatic and organizational modifications or improvements is an essential element of the essay.

Participation in NOAA's executive and managerial programs is stressed. Additionally, each officer should assure that his/her service record lists awards received and publications accepted.

Present Length of Service Requirements (as of 1/1/75):

Minimum period when vacancy exists (if otherwise qualified)

CAPT	18 yrs.
CDR	10 yrs.
LCDR	6 yrs.
LT	3 yrs. 3 mos.
LTJG (T)	1 yr. 3 mos.

Maximum period without vacancy (if otherwise qualified)

CAPT	30 yrs.
CDR	21 yrs.
LCDR	14 yrs.
LT	7 yrs.
LTJG (F)	3 yrs.

PROMOTION EXAMINATIONS

All material submitted for promotion to the grade of LCDR is reviewed by the individual members of the Officer Personnel Board and by the Director of the Corps. The Board, after discussion of each case, recommends appropriate action to the Director. To date, no detailed critiques have been sent back to the officers concerned, primarily because of the heavy administrative workload in the office.

It is apparent, however, that many officers do not completely understand the reasons for the present practices. The above "Guidelines for Officer Promotion" were prepared by the Officer Personnel Board to cover all promotions, and may be helpful. In addition, however, in the case of promotions to LCDR the following five criterion are used: 1) Understanding of NOAA Corps Program Activities, 2) Understanding of NOAA Corps Role, 3) Accuracy of Material, 4) Clarity, and 5) Constructive Imagination.

APPENDIX C

Officers up for promotion to LCDR are journeyman officers. They have already participated in one or two program areas and their performance has been evaluated in those jobs. We do not know, however, how much they have learned about NOAA as a whole. As NOAA Corps Officers they are expected to be knowledgeable to some degree about all of NOAA's programs and its total organization. Many, obviously, are not. The promotion exam process is designed partly to stimulate them into research on aspects of NOAA and the Corps with which they are not familiar. This motivation has been carried up from previous practices as a perfectly valid part of the education and evaluation process.

Officers are also expected to be creative, innovative and original, and ample opportunity is provided to make suggestions for the betterment of the service. This is a test of personal qualities sometimes not otherwise documented in the evaluation system. The exam, therefore, is not necessarily a test of what you have learned or are doing, but an attempt to size you up as a future leader and administrator.

The following letter is presently being sent to lieutenants in the promotion zone for Lt. Cdr. requesting submission of an essay:

As a factor in determining your professional qualifications for promotion to the grade of lieutenant commander in accordance with the provisions of paragraph 6d(6), NDM 36-46, you are required to submit an essay on one of the following questions. To assist you in answering these questions and to broaden your knowledge of NOAA, the enclosed bibliography is suggested.

- (1) What program goals should be set by NOAA including the role that the NOAA Corps should play in reaching these goals, and including significant accomplishments you would like to make personally? In addition, discuss one of the areas under (2) below; or
- (2) Discuss any three of the following areas including their purpose, organization, and effectiveness. What improvements would you make, either programmatic or organizationally?

- a. Sea Grant Program
- b. Environmental Data Service
- c. Marine Technology
- d. Coastal Zone Management
- e. Mapping, Charting, and Geodesy Program
- f. Living Resources Program
- g. Marine Ecosystems Analysis Program
- h. Near Real Time Forecasting Programs
- i. International Scientific Programs, for example, GARP
- j. Office of Fleet Operations
- k. Remote Sensing Operations

This examination will be evaluated by both the Officer Personnel Board and the Director, NOAA Corps, and used along with your fitness reports and past performance, in determining your professional qualifications for promotion.

SUGGESTED BIBLIOGRAPHY

NOAA Budget Estimates, current FY
NOAA Organizational Handbook
PAO Brochures covering:

- a. Sea Grant
- b. Environmental Data Service
- c. National Oceanographic Instrumentation Center
- d. National Weather Service
- e. National Marine Fisheries Service
- f. Etc.

National Advisory Committee on Oceans and Atmosphere (NACOA) Reports

SPECIAL RECOGNITION

The Director, NOAA Corps takes great pleasure in reporting the following special recognition of Corps Officers:

Commander R. Lawrence Swanson has been awarded the Program Administration and Management Award, one of NOAA's highest awards with cash award of \$1,000, in recognition of his exceptional leadership and ingenuity in the formation and execution of the MESA New York Bight Project, enabling a concerted and effective attack on the major environmental issues facing the New York and New Jersey coastal regions.

APPENDIX C

U.S. DEPARTMENT OF COMMERCE / National Oceanic and Atmospheric Administration



NOAA CORPS BULLETIN

OFFICIAL INFORMATION FOR NOAA COMMISSIONED OFFICERS

Volume 6, Number 3

1 May 1976

THE ADMINISTRATOR PRESENTS AN OPTIMISTIC OUTLOOK FOR GEOPHYSICS IN NOAA

The following extracts are from Dr. Robert M. White's presentation to the American Geophysical Union on April 12, 1976.

"As NOAA moves more broadly into the field of environmental management, we are finding that there is a range of geophysical research that is receiving new interest. NOAA has grown in its first five years from a scientific and technical service agency carrying out traditional missions of describing and predicting the state of the environment to an agency which is also deeply involved in problems of environmental management. It has evolved in this way as a result of legislation adopted since its formation. This has included the Coastal Zone Management Act, the Marine Mammal and Endangered Species Acts, the Marine Research, Protection and Sanctuaries Act and the Deep Water Ports Act. Additional legislation is now being considered by the Congress. The Fisheries Conservation Act of 1976 to extend U.S. fisheries jurisdiction to 200 miles has been sent to the President for signature. Legislation to foster deep ocean mining and to amend the Coastal Zone Management Act is under active consideration. NOAA will play a central role in the implementation of this legislation.

"In addition, NOAA has been called upon to meet national environmental and resources management needs; as for example in the support it has been asked to provide in connection with the development of our offshore oil and gas resources, as well as in support of the national effort to increase food productivity. Environmental management requires a new awareness among geophysicists of the issues at stake. Now we must be more aware of the problems that occur at the intersection of our individual scientific disciplines and the social, economic and political problems to whose solution our understanding and knowledge can contribute.

"Let us look more closely at some of the activities now being stimulated by environmental and resource management needs. I will select a few examples of concern to NOAA. The potential effects of the oxides of nitrogen or fluorocarbons on integrity of the ozone layer lead to the need to manage and regulate the introduction of these pollutants. Research on stratospheric problems or problems of the photochemistry of the upper atmosphere and studies of the possible consequences of changes in the upper atmosphere, both upon human health and climate, are being given increased emphasis as a result. Our need to cope with worldwide food shortages has stimulated a wide range of geophysical activities. We now experiment with earth resources and meteorological satellites for crop assessment. We have increased our investment in studies of climate and have generated great interest in programs that will enable us to anticipate changes in climate better. Each of these translates into programs of great complexity and possibly large-scale funding.

"The new management system for our coastal zones is concerned with the balanced use of this valuable area. Difficult decisions have to be made which can resolve problems of conflicting use. We want to preserve our fisheries habitats, insure recreational values and at the same time provide shoreline for industrial purposes and energy facilities vital to our national economy. It has become increasingly important as a result to know the nature of sediment transport along our coasts, to know more about the details of ocean current systems and their fluctuations, and to know more about surf problems, beach erosion, and other nearshore oceanic and coastal processes. Projects such as our own Marine Ecosystems Analysis work in the New York Bight and many of the projects sponsored through our Sea Grant Program are a start towards a much broadened activity.



APPENDIX C

"Congress has just adopted a new fisheries management system in the Fisheries Conservation Act of 1976 which will extend U.S. fisheries jurisdiction out to 200 miles. The Act calls for fisheries management to be based on the best scientific evidence available. As we move towards a rational fisheries management system, I visualize a much expanded effort to provide the understanding of the relationship of fish stocks to changes in the marine environment. This implies a greater need for knowledge of the physics, dynamics and chemistry of the oceans and new efforts, directed at predicting the future state of oceanic conditions.

"Environmental management problems associated with development of new energy resources are also of concern to NOAA. They have already stimulated a remarkable growth in oceanic research of all kinds. The environmental assessments required to support the decisions on development of new frontier areas of our continental shelves represent an enormous undertaking to which we are devoting substantial effort in cooperation with the Bureau of Land Management. The impact has stretched the ship capabilities of both the governmental and nongovernmental institutions. There are few institutions involved in marine activities that have not been involved, in one way or another, by the national need for environmental information on the geology and geophysics of the sea floor, the dynamics of the ocean currents, as well as the nature of meteorological conditions over our coastal waters.

"What does all this mean to geophysicists who look to future prospects?

"It means good years ahead with much to do on problems that are both scientifically rewarding, and which also respond to national needs for geophysical information."

FORM 56-25 COMMENTS

Form 56-25 is an extremely valuable administrative tool. Every section is reviewed carefully by the Corps Staff, the Officer Assignment Board or the Officer Personnel Board. The Director personally scrutinizes every submission and in past years has replied to individual officers who have made significant suggestions. The forms received this year have been, in general, very well and conscientiously prepared. The Director has replied this year, to a large volume of constructive queries and suggestions. Extracts of these replies which could be of concern to several officers, will appear in this and ensuing issues of the Bulletin.

Communication

I have noted comments on the subject form to the effect of losing contact with other Corps officers, as do others serving in remote areas. This is a common problem for NOAA in general because of the wide geographic distribution of its people. Internal communications will always be a problem. You probably receive as good and prompt notification of Corps matters as any other officer, but you are hindered by not having access to a "grapevine." This means that you also miss much "bum dope."

I also agree completely with comments about the need for closer contacts between office and field. Our organization is so geographically dispersed that communications will never be as good as all would like them to be. This is just an unfortunate fact.

My office does try to visit sites where there are concentrations of officers, and we have hit Seattle, Norfolk, Boulder, and Miami, recently. The travel budget does inhibit us from doing all that we would like to do.

We should take advantage of any mechanism to improve communication. I appreciate very much receiving thoughts, suggestions and comments from field officers who, after all, are our clients.

Promotion and Communication

I have noted comment on reducing the delay between notification and promotion dates. This is, of course, a fine objective. Unfortunately, it is occasionally necessary to hold up notification beyond the expected date because of a variety of factors such as: (1) incomplete analysis of the physical examination; (2) uncertainty over completion of required courses; (3) possible delay by the Senate in confirming appointments; (4) inability of the Officer Personnel Board to agree on promotability without more documentation on fitness, etc.

Sometimes, such a mundane thing as inability to process the papers because of temporary staff shortages and other priority work may slow the process. We have a limited number of people to do a lot of work.

Of course, when the delay is not the fault of the individual officer, the promotion is made retroactive and no pay loss is experienced. We are revising our processes in order to accelerate these actions, but the latest change will result in a less personal type notification. A small price is thus paid for expediency.

APPENDIX C

Promotion Examination

The combined operations examination was dropped as a promotion requirement by the Officer Personnel Board for several reasons. First, it was not at all clear that hydrography was more important than other programs. Many officers never serve on a hydro project, and many sea billets today are in other programs, which are equally important. Second, it was becoming increasingly difficult to obtain adequate reviews of the completed examinations in a timely way. This was the main reason.

NOS, by the way, is acutely aware of the need for hydrographic training. They are trying to devise a proper format. The Director has requested suggestions, but I understand that the response has been practically nil.

We always use considerable judgment in grading or evaluating officers in any way. It is only right to expect an officer who has had experience in a given area to show somewhat more competence, at least initially. The new lieutenant commander examination, by the way, is very revealing, although it is much misunderstood.

Qualified Sea Commands

I agree that command at sea should be assigned only to qualified officers. I would like to assure you that position on the lineal list is definitely not a deciding factor for those assignments. It is an unfortunate fact that some officers for one reason or another are not as well qualified to handle command at sea as others; however, to eliminate them from consideration for any sea duty would be grossly unfair. I believe that if you will examine recent actions with regard to appointment to command positions, you will see that we have not done this automatically by position on the lineal list. In fact, you will see that some officers have not experienced command at sea at all. You should not interpret this as meaning that they are not qualified. The opportunities for command at sea must be balanced off against the opportunities or requirements for other positions.

Career Ladders - NOS

I would suggest that we do not create career ladders in organizations but in programs. While we may have only several dozen officers within the NOS, we have more than that concerned with the living resources programs of NOAA. Our present career ladder in living resources involved injecting officers into the system as early as possible, preferably aboard vessels supporting the living resources program but, if this is not always possible, into the laboratories. The duties within the laboratories vary considerably, as you well may imagine. It is anticipated that officers leaving the laboratories will go to sea and, once again, preferably aboard Fisheries vessels, thus creating a ladder in this program with the usual sea-shore rotation and the upward mobility to different executive levels. Considering that we have worked in this area for only a little over five years, I think that we have made a good start. The negative attitudes that you mention are easily changed by a good performance and good will, and we are seeing much evidence that our program has become more successful each year.

Assignments - Rotation of Sea Billets

As you may know, OPO proposed a fleet augmentation plan for both officers and crew which would permit an extension of the season through rotation of individuals. Our suggestion to OPO was to have an entire Class I wardroom at each Marine Center in order properly to accomplish this. The budget failed to support the plan, but several officers could be so used, and have been in the past. The time for this idea may finally be upon us, with 106 officer billets in Seattle and too many of them at sea.

Assignments - Women officers

Not very many officers are assigned to ships supporting living resources programs right out of the training class. Those who are have been carefully selected. It is imperative that we do a super-excellent job of helping those projects. The OOD qualification is important because of the small size of the staff and the need for other kinds of training. There is no prohibition against female officers serving on fisheries-type ships, in any case.

All women officers coming out of Kings Point are not going to Class I's. There is no discriminatory policy here either. The billets available are open to all graduates of a given class. What you are seeing is the inevitable result of distributing 8 to 12 women per year over the whole fleet. We do not, however, discriminate in hiring either, so this number is variable.

It still is necessary to pair officers up to avoid wasting valuable bunk space, no matter what class of vessel is concerned, and this is a reasonable and necessary condition which we must accommodate to.

By the way, WHITING sailed for the Virgin Islands with two female officers aboard and MT. MITCHELL is in Puerto Rico with one, and coincidentally the RESEARCHER currently has none.

APPENDIX C

Assignments - The Process

I do not believe that we will ever have an assignment board whose makeup is acceptable to all officers of the Corps. However, I believe the balance is quite close to what it should be at this time, and that neither junior nor senior officers have more influence than they are qualified to exert.

Administrative and Managerial Training

It is true that many young officers do not want to believe that they are part of management; however, we are now coming down very hard on our junior officers with regard to their roles as Federal officials and officers of the NOAA Corps, and we are levying on them requirements for personal conduct that we have not considered necessary in the past. Our recent experiences, as usual, show us deficiencies in our training program and as fast as we can identify these, we will work to eliminate them.

Also, I agree that middle ranking Corps officers should be involved in a formal program of administrative training. This is exactly what we recommend and that we encourage all officers to do. Under our present practices, training is the responsibility of the individual program managers and we look to each officer working within his own office to select the most appropriate administrative training courses for himself, which are then funded by that particular office. It has been previously recommended that all officers receive formal structured training for specific periods of time before reporting to shore based assignments. Until we have more officers in the Corps, this, unfortunately, will be extremely difficult to schedule.

The Ship Officer's Role in Project Planning

It is, unfortunately, not possible in all cases for officers to be more directly involved in the project planning phase, or for that matter, to be more directly involved in the processing of the records and evaluation of the results, for a variety of reasons. The geographic dispersion of the people, and the fact that some scientific projects are not too well planned anyhow make it difficult. In spite of these handicaps, plus the short lead time on some OCSEAP projects, the ships and scientists have done very well in keeping things glued together. Wherever early and joint planning is possible, it should be done, and sometimes this could be at the initiative of the ship. Many scientists are not accustomed to finding the competence aboard ships that we have, so their processes may differ widely from ours.

Advanced Standing

The advanced standing policy of the NOAA Corps has been reviewed regularly and critically, and we believe that it is most appropriate to maintain it as it is now operated. It would be grossly unfair to appoint an officer 35 years old as an ensign. If the lineal list is to have any validity, it must represent a graduated scale of capabilities from top to bottom, i.e., each officer should see the officer senior to him as being slightly more capable of making a contribution to the operations of NOAA because of his experience, education, training, etc. The officer just below any individual, by the same token, should be slightly less capable. Officers are reviewed annually and the lineal list is adjusted to attempt to produce this result. As you know, advanced standing is given at this time only to those officers coming from the military services who have demonstrated performance of duty which is documented to our satisfaction. This is only right, inasmuch as they are also credited by law with time for retirement and time for pay. We believe our present policy is correct and that it operates properly. However, this in no way eliminates the pain when an officer is appointed higher on the lineal list than any one individual who has been in the service for some time. We are well aware of the pros and cons of this argument and believe that the situation is being properly handled at this time.

Appearance

I, too, would like to emphasize professional development and to spend less time staving over hair styles. Unfortunately, there seems to be a high emotional content to this issue on all sides. Of course, personal cleanliness and appearance do require reinforcing. You have now seen ample evidence of people "going to seed" when arriving aboard ship. The line has to be drawn somewhere, and this is where opinions differ.

My office has adopted a fairly liberal position on these matters and, if a few officers did not push it to the limit, we could all accommodate.

Uniforms, Official --- Regulations and Allowances

The uniform regulations are on the way. We have few details left to settle and we hope to have it in print shortly.

APPENDIX D

AFFECTED NOAA CORPS INSTRUCTIONS AND REGULATIONS

(Tear Instruction Sheet off here and submit only the report to: Chief, Commissioned Personnel Division NC1)

U. S. DEPARTMENT OF COMMERCE
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

INSTRUCTIONS

(For Preparing NOAA Form 56-6, "Fitness Report for Commissioned Officers")
(See NDM 56-06 for further instructions)

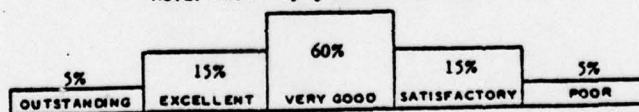
This report is used with previous fitness reports for the purposes of assignment-making, career development and promotion. It should be factual and unbiased. Officers should be rated in comparison with officers of similar grade and service. To insure the integrity of the systems, it is important that these instructions be carefully read prior to preparation of the report.

Form Items

- Item 1. When "from" or "to" date represents reporting or detachment date of the rated or rating officer, use the organization code change date shown on NOAA Form 56-4 (Travel Order and/or Organization Change Order).
- Item 2. Check appropriate box.
- Item 3. (e. g. DOE, John L., Jr.)
- Item 4. (RADM, CAPT, CDR, LCDR, LT, LTJG, ENS)
- Item 5. Check appropriate box.
- Item 6. Specify major component, unit, and location (e.g., NOS, SURVEYOR, Seattle, Wash.; ERL, Earth Sciences, Boulder, Colo.; NOAA HQ, Office of Administrator, Rockville, Md.; or NWS, Ops. Div.; Kansas City, Mo.).
- Item 7. Avoid vague terms such as "junior officer duties" or "Administrative Assistant".
- Item 8. When a mark in a particular category cannot be determined from duty performance, estimate the officer's present potential. If you feel you cannot grade the officer on three or more rating categories because you lack evaluative information or the officer was under your supervision for too short a period, omit marking any of the rating categories and explain the matter in Item 11.
- All of the ten rating categories listed in Item 8 are of equal value. Grade values are: "Outstanding" - 10 points; "Excellent" - 8 points; "Very Good" - 6 points; "Satisfactory" - 4 points; and "Poor" - 2 points.

The expected distribution of grades in Item 8 for all NOAA officers is:

NOTE: The average grade is "Very Good".



No correction will be applied to the total mark resulting from your grading; therefore, grading an officer higher than is warranted by a true comparison of performance with that of contemporaries will seriously compromise the value and utility of this report.

(Continued on Reverse)

APPENDIX D

Item 9. Check appropriate box on each line.

Item 10. This section must not be left blank. Read the instructions on the form. Use extra sheets for elaboration if necessary.

Item 11. This section must not be left blank. Read the heading for detailed instructions. Attach commendations and other evaluative reports not previously submitted, making reference to them in this section. If you recommend this officer for accelerated promotion, include well-documented evidence of outstanding performance and give examples of demonstrated ability to handle responsibilities, comparing that officer with all other officers of that grade and length of service.

Each rating officer will include in the report in this section a statement "I consider (do not consider) this officer's progress satisfactory, and recommend retention in (separation from) the NOAA Corps". If there is a negative recommendation, statements shall be included to support this contention. Reports containing negative recommendations shall be submitted as prescribed in paragraph 3.4., NDM 56-06.

Item 12. Check appropriate box.

Item 13. Trend of Performance is the trend of consecutive reports made by the same rating officer while the rated officer is in the same assignment.

Item 14. Check appropriate box.

Item 15. (a) "Rating Officer" is the person who assigns the ratings and makes the comments.

(b) "Reporting Officer" is the supervisor of the rating officer except that if the rating officer is head of a more-or-less independent entity (e. g., commanding officer of a ship or director of a laboratory) that officer shall sign in both capacities.

(c) "Rated Officer" is the officer being evaluated. The report must be discussed with the officer and must be signed in the space provided. If the rated officer believes he/she has been unjustly graded, or has been given a poor rating, the officer must be advised of the entitlement to submit, within a 10 day period a statement to the Director, NOAA Corps. See NDM 56-06. If the officer is not readily available for signature due to detachment or detached duty, the rating officer shall provide the officer with a copy of the report, explain the circumstances in Item 11, and transmit the original report to the Chief, Commissioned Personnel Division.

Transmittal Instructions

(These instructions are effective pending revision of NDM 56-06)

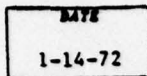
Fitness reports shall be submitted in duplicate and routed as follows:

- (a) The original Fitness Report shall be submitted directly to the Chief, Commissioned Personnel Division, marked "For NCI - DO NOT OPEN IN MAILROOM." On the original fitness report, it should be noted that a copy has been forwarded through channels.
(See Item 12)

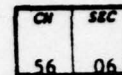
Retention of Copies

Rating officers may retain a copy of each fitness report submitted to facilitate the submission of subsequent reports. Retained copies are for the sole use of the rating officer and shall not be maintained as an activity file nor shown or passed on to a subsequent rating officer.

APPENDIX D



Directives Manual



56-06 FITNESS REPORTS FOR COMMISSIONED OFFICERS

1. Purpose

To provide instructions for the preparation and submission of Fitness Reports for Commissioned Officers, NOAA Form 56-6 (See Exhibit).

2. Submission

a. Periodic fitness reports shall be submitted by each officer's immediate supervisor as follows:

(1) Lieutenants and above -- annually for the period ending December 31.

(2) Ensigns and Lieutenants (junior grade) -- semiannually for the periods ending June 30 and December 31, respectively.

(3) When either the officer or his immediate supervisor is transferred or otherwise leaves his position.

(4) When the performance of an officer is deemed either poor or exceptional.

(5) When a supervisor considers an officer unfit for retention because of incompetence, inaptitude, or other valid reason.

(6) Upon the request of the Chief, Commissioned Personnel Division.

(7) Reports must be sequential, covering each day of an officer's career. Reports covering other than normal periods (June 30 and December 31), such as those covered by (3) above, will end on the day of detachment. The reporting period shall begin on the day after detachment covering such travel, proceed, and leave time as may have been taken. Supervisors making reports covered by (4), (5), and (6) above, shall make their next report for the period beginning the day following said report.

b. The submission of either a semiannual or annual fitness report is not required when a detachment report has been, or will be, submitted within 60 days of the due date of the annual or semiannual report.

c. For each officer below the grade of lieutenant commander, the rating officer shall include a statement in the report regarding the type and extent of training given the officer during the rating period.

Transmittal No. 100



- 1 -

APPENDIX D

CN	SEC
56	06

NOAA Directives Manual

DATE
1-14-72

56-06 FITNESS REPORTS FOR COMMISSIONED OFFICERS (Cont'd)

d. Every effort shall be made to render as comprehensive an evaluation as possible since these reports are the basis in selecting officers for promotion, assignment, and separation. When a complete evaluation cannot be made, the reason shall be noted in the report under General Comments.

★ e. Each rating officer will include in the report in section 11 a statement "I consider (do not consider) this officer's progress satisfactory, and recommend his retention in (separation from) the NOAA Corps." If there is a negative recommendation, statements shall be included to support this contention. Reports containing negative recommendations shall be submitted as prescribed in 3.d. below. ★

3. Procedures

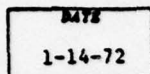
a. The Fitness Report shall be signed in the "rating officer" block (item 14) by the supervisor who actually evaluates the officer's performance. It will then be referred to the next supervisory level for signature in the "reporting officer" block. If the head of a more-or-less independent activity (e.g., the commanding officer of a ship or director of a laboratory) actually evaluates an officer's performance, he shall sign as both the "rating" and "reporting" officer.

b. The Fitness Report must be shown to and discussed with the officer being rated and he shall indicate that he has read it by signing in the space provided. It is the responsibility of the supervisor to inform the officer of his strong points and his weaknesses and, if applicable, to specify how his performance can be improved. The signature of the rated officer in item 14 does not necessarily signify that he agrees with the report. It indicates only that he has seen the report. If the officer is not readily available for signature due to detachment or detached duty, the rating officer shall provide the officer with a copy of the report, explain the circumstances in item 11 and transmit the original report to the Chief, Commissioned Personnel Division.

c. If an officer believes that he has been unjustly rated, or if a report on him has been submitted for poor performance, under provisions of paragraph 2a(4), he is entitled to forward, within 10 days from the date of discussion of the report with his supervisor, a statement on his own behalf to the Director, NOAA Corps either through channels or direct. In the latter instance, he must inform his supervisor that he has exercised his right under this paragraph to write directly to the Director. The supervisor shall inform the Director that he has been notified.

★ Revised - 1-14-72

APPENDIX D



NOAA Directives Manual

CN	SEC
56	06

56-06 FITNESS REPORTS FOR COMMISSIONED OFFICERS (Cont'd)

d. If a special report is prepared under paragraph 2a(5), the supervisor will retain the report for 10 days after having discussed it with the rated officer; during this period, the rated officer may present any statement he chooses to make in his behalf for submission to the Director, NOAA Corps with the Fitness Report. The rated officer may elect to forward the statement directly to the Director, NOAA Corps provided he notifies his supervisor that he is taking such action. The supervisor shall inform the Director that he has been so notified.

4. Transmittal Instructions

a. All Fitness Reports shall be submitted to the Chief, Commissioned Personnel Division; the envelope in which forwarded should be marked: For CCI; DO NOT OPEN IN MAILROOM.

b. Fitness Reports covering the performance of officers assigned to the National Ocean Survey will be forwarded through the Director, National Ocean Survey. In addition, Fitness Reports covering the performance of officers on ship duty shall be routed as follows:

(1) For those in ships home-ported on the East Coast: through the Director, Atlantic Marine Center and the Director, National Ocean Survey.

(2) For those in ships home-ported on the West Coast: through the Director, Pacific Marine Center and the Director, National Ocean Survey.

(3) For those in ships home-ported in Detroit, Michigan: through the Director, Lake Survey Center and the Director, National Ocean Survey.

5. Effect on Other Instructions

NOAA Directives Manual 56-06, dated August 24, 1971, is hereby cancelled.

APPENDIX D

DATE
7-27-76

NOAA Directives Manual

CH	SEC
56	44

56-44 COMMISSIONED OFFICERS - AUTHORITY AND PRECEDENCE

1. Precedence Among NOAA Officers

a. The Director, NOAA Corps, subject to the provisions of section 2(f) of Reorganization Plan No. 4 of 1970, has the grade of rear admiral (upper half) while so serving. The Director, NOAA Corps takes precedence above all officers of the Corps, except an officer of the Corps who is serving as the Associate Administrator of NOAA.

b. Precedence of all other officers shall be arranged on the lineal list by the Director, NOAA Corps, as recommended by the Officer Personnel Board.

c. The lineal list shall be arranged to show precedence between grades in accordance with NDM 56-40, with vice admiral as the highest grade.

(1) An officer upon original appointment shall be assigned a position on the lineal list based on date of appointment and an evaluation of the officer's record. Such an officer who is not granted advanced standing shall be assigned the date of commencement of the training class as a promotion control date. The promotion control date of an officer originally appointed with advanced standing shall be computed from the date of commencement of the training class. In either event, date of rank shall be the same as the promotion control date.

(2) The promotion control date of an officer who is re-appointed, or originally appointed with advanced standing and does not attend a training class, shall be computed from the date of appointment or reappointment, as applicable. Date of rank and promotion control date shall be the same.

(3) An officer who is initially appointed to the temporary grade of ensign shall, upon Senate confirmation in the permanent grade of ensign or higher, be assigned a date of rank in the grade confirmed the same as the officer's date of rank as temporary ensign.

(4) An officer promoted from the temporary grade of lieutenant (junior grade) to the permanent grade of lieutenant (junior grade) shall be assigned the same date of rank as held in the temporary grade of lieutenant (junior grade). (NDM 56-46, par. 7b(1)).

(5) The date of rank of an officer temporarily promoted one grade pursuant to NDM 56-46 (paragraph 7b(2)) shall be the effective date of the temporary grade.

d. Officers with the same dates of appointment in any grade below rear admiral shall rank in the order in which they were recommended for promotion by the Officer Personnel Board.

APPENDIX D

CN	SBC
56	44

NOAA Directives Manual

DATE
7-27-76

56-44 COMMISSIONED OFFICERS - AUTHORITY AND PRECEDENCE (Cont'd)

e. An officer who has lost lineal numbers or is advanced on the lineal list shall rank immediately after the officer who is ahead in the new position on the lineal list regardless of date of rank.

f. An officer who was passed over for promotion due to administrative error, or who was removed from the line of promotion and subsequently returned to the line of promotion without prejudice, shall, upon retroactive promotion, suffer no loss of precedence and shall be assigned a date of rank restoring him to his proper position on the lineal list.

g. As prescribed by 33 U.S.C. 853r, the Officer Personnel Board shall, at least once a year, recommend such changes in the lineal list as the Board may determine.

(1) On or about March 1 of each year (or at such time as the Director, NOAA Corps, may direct), the Officer Personnel Board shall review the records of each officer who has, or will have, completed at least two years of service for promotion purposes during that calendar year and recommend to the Director, NOAA Corps, changes to the lineal list as warranted.

2. Precedence When Serving with the Army, Navy or Air Force - When serving with the Army, Navy or Air Force, officers of the NOAA Corps shall rank with and after officers of corresponding grade and of the same length of service in that grade, in these uniformed services (33 USC 856).

3. Exercise of Authority

a. All NOAA Corps officers on active service are at all times subject to NOAA Corps authority and shall exercise authority over all persons who are subordinate to them, in accordance with these regulations and orders from competent authority. Exception: Any officer under arrest, suspended from duty, in confinement, or otherwise incapable of discharging his duties shall not exercise authority over others.

b. All officers on the NOAA Corps retired list are subject to the authority of the NOAA Corps, but no officer on the retired list shall place himself on duty or exercise authority over officers in the NOAA Corps without orders from competent authority.

c. An officer directed to command by competent authority, or who has succeeded to command, has precedence over all officers and other persons attached to the command of whatever rank or classification.

APPENDIX D

DATE
7-27-76

Directives Manual

CM	SEC
56	44

56-44 COMMISSIONED OFFICERS - AUTHORITY AND PRECEDENCE (Cont'd)

d. An officer who succeeds to command due to the commanding officer's incapacity, death, departure on leave, or absence due to orders from competent authority, has the same authority and responsibility as the officer whom he succeeds.

e. The executive officer, while in execution of his duties as such, shall take precedence over all persons under the command of the commanding officer.

4. Authority in Special Situations

a. An officer embarked as a passenger in a ship or aircraft not under his command, unless otherwise specified in his orders, has no authority over, nor responsibility for, the ship or aircraft.

b. Officers embarked as passengers who are junior to the commanding officer (if not on the staff of an officer also embarked) may be assigned duty when the exigencies of the service render it necessary, of which necessity the commanding officer shall be the sole judge. Passengers thus assigned shall have the same authority as though regularly attached to the ship, but have no additional claim to quarters by virtue of such assignment.

5. Succession to Command

a. Rank is the order of precedence among members of the Uniformed Services (37 USC 101 (16)). Grade is a step or degree in a graduated scale of office or rank that is established by law or regulation (37 USC 101 (15)). Rank may also be described as that character or quality bestowed upon persons which marks their station and confers eligibility to exercise command or authority in a uniformed service within the limits prescribed by law.

b. Command is exercised by virtue of office or by assignment of individuals designated by competent authority.

c. During the absence or disability of the Director, NOAA Corps, or in the event of a vacancy in that office, the Chief of the Program Planning, Liaison and Training Division, NOAA Corps, shall act as Director, NOAA Corps, unless otherwise directed by the Administrator.

d. In the event of the incapacity, death, relief from duty, or absence of the officer detailed to command a unit, the officer shall be succeeded by the following, in the order enumerated:

APPENDIX D

CN	SEC
56	44

NDM Directives Manual

DATE
7-27-76

56-44 COMMISSIONED OFFICERS - AUTHORITY AND PRECEDENCE (Cont'd)

(1) Shore Units

- (a) The assigned (or designated executive officer) or deputy.
- (b) Other assigned commissioned officers in the order of their seniority, unless otherwise specified by competent authority.

(2) Ships

- (a) The assigned or designated executive officer.
- (b) Other assigned commissioned officers who are certified as qualified for officer of the deck watches underway in the order of seniority. The commanding officer shall publish this order of succession to command.
- e. Whenever an officer is succeeded by a civilian as officer-in-charge or equivalent position, the senior commissioned officer assigned to the unit will become commander of the officer personnel for that organization, but all will remain under the authority of the individual-in-charge of the unit.
- f. An individual who becomes commanding officer or officer-in-charge, in accordance with the preceding paragraphs, shall promptly report that fact and the reasons therefor to the immediate superior.

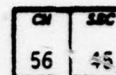
6. Effect on other Directives. NDM 56-44 dated August 23, 1971 is cancelled and superseded.



APPENDIX D



Directives Manual



56-45 COMMISSIONED OFFICERS - ASSIGNMENTS

1. General

a. The Director, NOAA Corps, is responsible for assigning qualified officers to authorized positions and for affording each officer an assignment which will offer opportunity for development of professional and personal capabilities. Assignments are based on service requirements, the professional needs of the individual officer and, to the maximum extent practicable, on the preference of the officer (Sec. 12, DoC Order 25-58).

b. In general, the Director, NOAA Corps makes direct assignments to specific positions only when key positions are involved. Assignments to positions within Primary Organizational Elements are made by the Director, NOAA Corps, after consultation with the Director of the POE and/or Major Line Component, NOAA Corps Liaison Officer. The assignment of duties to officers ordinarily is the responsibility of the ship or organization to which officers are being assigned. Permanent transfer of an officer to a billet must be coordinated with the Office of the Director, NOAA Corps. This is necessary to maintain orderly planning within the assignment process, particularly with respect to Officer Assignment Board actions, and to assure that personnel and financial records are properly updated. This is in no way intended to restrict program managers from temporarily reassigning an officer due to an emergency or program need.

c. It is expected that any officer assigned to a ship will qualify as Underway Officer of the Deck at the earliest opportunity. This is a very important factor in determining an officer's early career advancement towards positions of higher responsibility. The programs of each ship shall be planned to permit such qualifications.

2. Officer Assignment Board

a. The Officer Assignment Board (OAB), appointed by the Director, NOAA Corps, shall consist of not less than four officers on the active list, one of whom shall be from the Commissioned Personnel Division. The senior member of the Board serves as Chairman.

b. The OAB assists the Director, NOAA Corps, in developing and administering policies governing the assignment of commissioned officers and the professional career development of the individual officer. To this end, the Board will examine personnel assignments and make recommendations to the Director, NOAA Corps.

c. Whenever possible, recommendations for assignments will be sent to the Director, NOAA Corps, at least 7 months in advance of an anticipated change of assignment.

Transmittal No. 404

- 1 -

APPENDIX D

CN	SBC
56	45

Directives Manual

DATE
8-8-77

56-45 COMMISSIONED OFFICERS - ASSIGNMENTS (Cont'd)

d. The Board will meet at least once a month at the call of the chairman.

3. Major Line Component Liaison Officers

The Director, NOAA Corps, with the concurrence of each respective Major Line Component Director, designates a senior commissioned officer within each MLC to carry out the collateral duty of NOAA Corps Liaison Officer. Duties of a NOAA Corps Liaison Officer are as follows:

(a.) Coordinates the assignment of commissioned officers to the MLC. This officer generally acts "for" the MLC Director and is responsible for keeping the Director informed of the status of commissioned officer assignments throughout the MLC, see 1.b. above.

(b.) Provides MLC clearance at the headquarters level prior to forwarding a request for assignment of a commissioned officer to the Director, NOAA Corps, see 5. below.

(c.) Keeps Commissioned Personnel Division informed as to which MLC requests continue as valid requests on the Officer Assignment Board agenda.

(d.) Acts as a central point of contact for information concerning officer assignments within that MLC.

4. Assignment Process

a. Consistent assignment policies and procedures shall be used to meet NOAA requirements and to enable the individual officer to take part in his or her own career planning. Each officer should be aware of the assignment mechanisms so that he or she may exert proper influence on them from time to time by thoughtful, active participation. Such participation should include becoming generally familiar with NOAA's Organizational Handbook and knowing what billets are presently filled by commissioned officers. The NOAA Corps Bulletin publishes a Location Roster listing where each officer is assigned as of 1 April and 1 October of each year, and provides ongoing information concerning assignment openings, descriptions, and career plans. Once determined an officer should make assignment preferences and personal desires known as early as possible.

b. An officer generally becomes available for reassignment consideration several months prior to the end of what constitutes a normal tour of duty. A normal tour, however, may be lengthened or shortened due to unforeseen circumstances or through scheduled adjustments as required to place officers with proper qualifications and

APPENDIX D

DATE
8-8-77

Directives Manual

CM	SAC
56	45

56-45 COMMISSIONED OFFICERS - ASSIGNMENTS (Cont'd)

desires in specific billets. The "review date" is the time when the Officer Assignment Board is scheduled to review an officer for reassignment. This is usually seven months or more in advance of the time that the officer could expect a move. In practice, an officer is seldom up for review at any specific date, but is considered many times during the assignment process in order to optimize the matching of qualified individuals with the needs of the organization and to the extent practical to those of the individual. Determination of the review date is based upon a number of factors involving the nature of the work, the situation with respect to the organization and the officer, etc. Mindful of this, the officer should make personal wishes known sufficiently in advance of the board's deliberations.

c. Vacancies come about through the departure of an incumbent or the creation of a new position. These vacancies are filled by selecting the best qualified officers from among those currently available for assignment or reassignment. An officer's qualifications are determined from the Official Personnel File. It is the officer's responsibility to assure that all relevant information has been forwarded for inclusion in the file.

d. Officers are expected to be aware of the limitations in the assignment process and to realize that individual desires may not always be satisfied. However, an officer's opportunities to fulfill career goals are greatly enlarged by active participation. Officers should actively participate by:

- (1) Giving thought to their careers as a whole;
- (2) Investigating jobs which interest them; and
- (3) Forwarding assignment preferences at the end of the calendar year via the Service Report, NOAA Form 56-25, through the immediate supervisor to the Director, NOAA Corps, Attn: NC1.
- (4) Forwarding assignment preferences by letter, as often as desired, through the line of authority/chain of command to the Director, NOAA Corps, Attn: NC1. When an officer is requesting assignment to a specific billet or program area by letter, a copy should be forwarded to the cognizant MLC liaison officer, e.g., a request for assignment to the NMFS, Pacific Environmental Group or NMFS, Marine Mammals program area should note that an information copy has been sent to the NMFS Liaison Officer.

5. Request for Assignment of a NOAA Commissioned Officer

The Director, NOAA Corps is responsible for the assignment of

APPENDIX D

CH	SBC
56	45

NOAA *Directives Manual*

DATE
8-8-77

56-45 COMMISSIONED OFFICERS - ASSIGNMENTS (Cont'd)

commissioned officers throughout NOAA, in compliance with broad goals established by the Administrator, for the most effective utilization of the NOAA Corps in support of NOAA's programs. An office with a need for a commissioned officer should submit the request (see attachment 1) through the appropriate chain of command (includes Director, Major Line Component - Attn: NOAA Corps Liaison Officer) to the Director, NOAA Corps. Although positions and funding are centrally managed by the Office of the Director, NOAA Corps, it should be noted that certain support costs are chargeable against the benefiting organization, i.e. MLC/POE. Liaison officers and/or the Office of the Director, NOAA Corps, can provide details concerning positions and funding.

6. Duty Tours

a. Whenever possible, an officer's first assignment shall be aboard a NOAA ship, or on a field project.

b. Initial sea duty tours typically are eighteen months to two years in length with subsequent sea tours of two to three years.

c. Shore Duty tours following initial sea assignments are normally two to three years in length.

d. Assignments may be lengthened or shortened for the convenience of the Government. Tour lengths are governed by the nature of the assignment or mission. All tours tend to become longer with seniority in service.

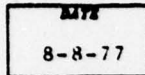
e. Emergency assignments are exempt from all timing limitations of any nature and may start and stop at any time required by the emergency.

f. Any officer assigned (PCS) to either Alaska or Hawaii is expected to serve in that assignment at least two years unless relieved earlier by the Director, NOAA Corps. An officer who is unwilling to so serve should refrain from requesting such an assignment. An officer selected for such assignment without requesting it and is unwilling to serve the two years should so indicate upon being notified of impending assignment. The Director will then determine whether the assignment will be made without the two-year stipulation. The resignation of an officer assigned under the two-year stipulation normally will not be accepted until two years after the effective date of his orders to such assignment.

7. Types of Duty Tours

During the assignment process, consideration shall be given to the type of duty being assigned. However, it should be realized that total equity between contemporaries cannot always be maintained. In fact, variations

APPENDIX D



Directives Manual

CH	SAC
56	45

56-45 COMMISSIONED OFFICERS - ASSIGNMENTS (Cont'd)

will be imposed whenever it is in the best interest of the Government. Numerous anomalies exist within each "type" of duty, e.g. Class I ship duty vs. Class IV ship duty or field parties moving at four to six month intervals or fixed duty with regular hours vs. fixed duty on shift-work. Equating such types of duty is purely judgemental. Thus, comparison of the number of months one officer has spent on a particular type of duty with those of another officer is not necessarily a valid comparison. Consideration of type of duty being assigned is given primarily to assure broadening of each officer's professional development without causing any particular officer to experience too much duty in any one category. Types of duty are as follows:

a. Sea duty - Assignments where an officer's orders are so endorsed, and indicate an assignment aboard an operational vessel. Assignment to temporary sea duty must be documented by forwarding an endorsed copy of the official order to Commissioned Personnel Division, Attn: NCI.

b. Fixed shore duty - Assignments to Headquarters, a Marine Center, laboratory, full-time training at a university or college, ship construction base, or such similar duty which requires only brief travel periods, if any, from the official duty station.

c. Mobile duty - Assignments where the officer is required to travel so frequently that "blanket" travel orders are necessary due to the officer being in a travel status throughout the majority of the tour. Typical examples are:

- Hydrographic Field Parties
- National Geodetic Survey Parties
- Tides Parties
- Flight Duty
- Recruiting Duty
- Airport Survey Parties
- Photogrammetric Parties
- Lake Survey Center, R/V SHENAHON

8. Voluntary Independent Research Activity

In order to permit the fullest use of the physical and intellectual resources of the NOAA Corps; captains of NOAA vessels, directors of Primary Organization Elements, installations, and NOAA supervisors at appropriate other organizational levels should encourage and support voluntary independent research and/or experiment by officers of the NOAA Corps during duty and nonduty hours subject to certain provisions contained herein.

Recognizing that plans and schedules never completely anticipate future developments, including whims of nature and conditions of service, there

TN404

APPENDIX D

CN	SEC
56	45

NOAA Directives Manual

DATE
8-8-77

56-45 COMMISSIONED OFFICERS - ASSIGNMENTS (Cont'd)

will be occasional intervals of inactivity. Also, in some locations, some officers may desire to make use of their leisure time.

Consequently, each commissioned officer is invited to pursue some independent line of scientific inquiry related to the general mission of NOAA. Ship captains, directors, or top local supervisors may make facilities and equipment available for such voluntary activity, subject to the following provisions:

- a. The officer, whose substantive duties have been completed, wishes to perform such study.
- b. The officer is off duty and wishes to perform such study.
- c. The officer's correspondence courses and workbook obligations are up-to-date.
- d. Use of facilities and equipment must not interfere with scientific operations or experiments in progress.
- e. No aspect of officer study would warrant moving a ship or aircraft otherwise at rest, or stopping a ship otherwise underway; but the captain may approve such actions.
- f. Although helpful, study need not be directly related to immediate duties.
- g. Proposals should not have such ambitious implications as to raise the question of interference with regularly assigned duties, or be of such duration as to interfere with the officer assignment process.

The director of each Primary Organization Element may approve sending of limited quantities of books and equipment to officers at remote locations, based on:

Cogency of the proposal for such study,
Ability of the officer to complete the work satisfactorily,
Relevance to the agency's over-all mission,
Availability of equipment.

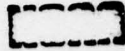
Each study or experiment should be summarized for placement in the officer's personnel jacket. Quality of thinking is more important than the size of the study. It is not necessary to prove anything but it is important to be clear and accurate. If an idea is developed to the point where it is suitable for a technical note or paper, the officer is encouraged to publish the work in conformity with agency procedures for publication.

All officers are reminded that, since this study work often involves an

TM404

APPENDIX D

8-8-77



Directives Manual

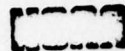
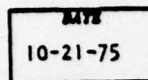
CM	SEC
56	45

56-45 COMMISSIONED OFFICERS - ASSIGNMENTS (Cont'd)
interface with other scientists, questions (such as who uses what data) may arise from time to time which require tactful handling. In the event of a disagreement, the decision of the local top supervisor must usually govern.

9. Effect on Other Directives

NDM 56-45 dated June 6, 1973 is cancelled and superseded.

APPENDIX D



Directives Manual

CM	SEC
56	47

56-47 COMMISSIONED OFFICERS - NONDISABILITY RETIREMENT

1. General

a. The NOAA Corps retirement system, like the retirement systems of all the uniformed services, is structured on the basis of a 30-year career. Maximum retired pay is based on 30 years of active service ($2\frac{1}{2}\% \times 30$, or 75% of basic pay).

b. Normally, an officer will be retired, on his own application, on the first day of any month after he completes 30 years of active service.

c. An officer may also request retirement after completing 20 but less than 30 years of active service. However, his retirement will be approved only if his services can be spared without adverse effect on the continued and effective operations of NOAA's programs, and provided he has completed at least 2 years of active service in his current grade computed from his date of rank in such grade. Waiver of this time-in-grade requirement may be made by the Director, NOAA Corps due to extenuating circumstances. (33 USC 853c)

d. An officer may be retired involuntarily, as provided herein, because of statutory age, failure to be selected for promotion, or when his retirement is considered to be in the best interests of the Service. (33 USC 853k and 853g)

2. Voluntary Retirement

a. Creditable Service

To establish eligibility to voluntarily retire under the provisions of 33 USC 853c, an officer must complete 20 years of active service of which at least 10 years was service as a commissioned officer (33 USC 864; 10 USC 6323). Active service for this purpose is defined as all active duty, including active duty for training, in the Armed Forces, and all active service as a commissioned officer, deck officer, or junior engineer in the National Oceanic and Atmospheric Administration, the Environmental Science Services Administration, or the U.S. Coast and Geodetic Survey (33 USC 853c-1; 33 USC 864; 10 USC 6323).

b. Retirement Application

(1) An eligible officer desiring voluntary retirement shall submit his retirement application at least six months before the date he desires transfer to the retired list. In unusual or emergency situations, the six-month requirement may be waived by the Director, NOAA Corps.

TRANSMITTAL NO. 333



-1-

APPENDIX D

CM	SEC
56	47

NOAA Directives Manual

DATE
10-21-75

56-47 COMMISSIONED OFFICERS - NONDISABILITY RETIREMENT (Cont'd)

(2) Except for officers serving in the grade of rear admiral (upper half) or higher, retirement applications shall be in letter form addressed to the President of the United States and forwarded through the chain of command, including the cognizant office of the primary organization element, to the Director, NOAA Corps who acts for the President for this purpose. For officers serving in the grade of rear admiral (upper half) or higher, such applications shall be addressed to the President and forwarded through the chain of command to the Administrator of NOAA who acts for the President in this instance.

(3) Retirement applications shall be processed promptly through the chain of command. Endorsements shall indicate whether the requested retirement date is compatible with the planned operations of the ship or activity and, when appropriate, recommend an alternate date.

c. Application Format

(1) Suggested wording for a voluntary retirement application is as follows: "Having completed (fill-in) years of active service, I request transfer to the Retired List to be effective on the first day of (month and year)." If desired, amplifying information may be included in separate paragraphs.

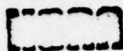
(2) All retirement applications shall include the following statement: "To my knowledge, I am (not) financially indebted to the Government of the United States." If knowledge of indebtedness exists, this statement should indicate the amount of indebtedness and the schedule established for repayment.

d. Request for Withdrawal or Change of Effective Date

Upon request, the Administrator or Director, NOAA Corps, as appropriate, in his discretion, may approve the withdrawal of a tendered or approved retirement application, or a change in the effective date of retirement, provided such request is approved before the retirement is effected. Generally, requests to extend an effective date of retirement will be approved provided the extension is for at least six months. All requests for withdrawal or change of effective date shall be submitted through the chain of command as outlined in b(2) above and contain justification for the requested action.

APPENDIX D

DATE
10-21-75



Directives Manual

CM	SEC
56	47

56-47 COMMISSIONED OFFICERS - NONDISABILITY RETIREMENT (Cont'd)

e. Effective Date

The approved effective date of retirement under the provisions of 33 USC 8532 will be specified in retirement orders by the Director, NOAA Corps. By operation of law, the date specified shall be the first day of the month. The officer's last day of active duty is the last day of the preceding month. (5 USC 8301)

3. Involuntary Retirement

a. Statutory Age

(1) When any officer serving in a grade below that of rear admiral has attained the age of 60 years, he shall be placed on the retired list effective on the first day of the month following his 60th birthday. (33 USC 853k(a))

(2) When any officer serving in a grade above that of captain has attained the age of 62, he shall be placed on the retired list, except that the Secretary of Commerce may, in his discretion, defer placing such officer on the retired list for the length of time he deems advisable but not later than the date on which he attains the age of 64 years. (33 USC 853k(b))

b. Failure of Selection for Promotion

(1) As recommended by the Officer Personnel Board, any officer in the permanent grade of lieutenant commander or commander who twice in succession fails of selection for permanent promotion may be involuntarily retired or retained on active duty at the discretion of the Director, NOAA Corps. An officer is considered to have failed of selection when (i) he is in an established promotion zone; (ii) he is not selected for promotion; and (iii) an officer junior to him is selected from within the promotion zone.

(2) In any fiscal year, the total number of officers involuntarily retired pursuant to this subparagraph, subparagraph c below, and the number of officers involuntarily discharged in accordance with paragraphs 1h and 1c, NDM 56-57, plus the number of officers retired for age under subparagraph a above, shall not exceed the whole number nearest 4 percent of the total authorized number of officers on the active list. (33 USC 853g)

APPENDIX D

CN	SEC
56	47

NOAA Directives Manual

DATE
10-21-75

56-47 COMMISSIONED OFFICERS - NONDISABILITY RETIREMENT (Cont'd)

(3) Any retirement pursuant to this subparagraph shall become effective on the first day of the sixth month following the date of approval of the retirement by the Director, NOAA Corps, unless the officer concerned requests earlier retirement, in which case the date shall be as determined by the Director. (33 USC 853g)

c. Best Interest of the Service

(1) As recommended by the Officer Personnel Board, any officer in the permanent grade of captain, commander or lieutenant commander may be transferred to the retired list, at the discretion of the Director, NOAA Corps, for the best interest of the Service pursuant to the provisions of 33 USC 853g. An officer's involuntary retirement is considered to be in the best interest of the Service for one or more of the following reasons:

(a) An officer's performance of duty is at a level below that expected of an officer of his office, rank or grade, and who is not well fitted for the duties and responsibilities of higher grades;

(b) An officer is not suited for continued service for one or more of the following similar causes:

1. Conduct contrary to laws, regulations, or administrative directives applicable to commissioned officers.

2. Intentional omission or misrepresentation of facts in official statements, either oral or written.

3. Act of intemperance and/or personal misconduct to the discredit of the Service.

(c) A reduction in the strength of the Corps is necessary by reasons of program contraction or numbers limitation.

(2) In any fiscal year, the total number of officers involuntarily retired pursuant to this subparagraph, subparagraph b above, and the number of officers involuntarily discharged in accordance with paragraphs 1b and 1c, NDM 56-57, plus the number of officers retired for age under subparagraph a above, shall not exceed the whole number nearest 4 percent of the total authorized number of officers on the active list. (33 USC 853g)

APPENDIX D

DATE
9-15-76

NOAA Directives Manual

CH	SEC
56	47

56-47 COMMISSIONED OFFICERS - NONDISABILITY RETIREMENT (Cont'd)

(3) Any retirement pursuant to this subparagraph shall become effective on the first day of the sixth month following the date of approval of the retirement by the Director, NOAA Corps, unless the officer concerned requests earlier retirement, in which case the date shall be as determined by the Director. (33 USC 853g)

4. Process

★ a. When involuntary retirement under the provisions of 3c, above, is indicated, except when a reduction in strength is necessary by reason of program contraction or numbers limitation, the officer concerned shall be notified of his/her right to show cause as to why the retirement should not be carried into effect, prior to a final decision on retirement from service.

b. If the officer concerned does not elect to exercise the right to show cause as set forth in a, above within 30 days of receipt of the notification, or states in writing a desire not to elect to exercise the right as set forth in a, above, retirement shall be effected as prescribed in 3c above, as appropriate.

c. If the officer concerned elects to exercise the rights under a, above, the Director, NOAA Corps shall provide the officer with the opportunity to submit any evidence the officer may wish to present to the Officer Personnel Board, and if the officer appears in person to call and question any witness who has knowledge of the case. A complete record of such proceedings shall be made and forwarded to the Director, NOAA Corps for review prior to final determination. In the event the record is not in the form of verbatim transcript the officer involved shall be notified of the right to review the record as forwarded by the Board to the Director, NOAA Corps and include an additional statement concerning any disagreement with the record as submitted.

d. When a personal appearance to show cause in accordance with a, above is requested by the officer concerned, the following rights shall accrue: The officer may be represented by a representative of his or her choice; the officer may request any witness who has knowledge of the case, and reasonable efforts shall be made to obtain witnesses so requested; submit evidence by affidavit or otherwise to the Board; and question witnesses called by the Board.

e. An officer who has been recommended for involuntary retirement ★ under the provisions of 3.b above, may request within 30 days of receipt of notification, that the Director, NOAA Corps appoint a Records Examination Board to determine whether or not information contained in the officer's personnel file should be corrected or removed. Such a request must be in writing and specifically identify the records or parts thereof to be corrected or removed. At the discretion of the Director, NOAA

APPENDIX D

DATE
9-15-76

Directives Manual

CH	SEC
56	47

56-47 COMMISSIONED OFFICERS - NONDISABILITY RETIREMENT (Cont'd)

b. A part of a year that is six months or more which may be obtained by adding the total service outlined above shall be credited as a whole year for multiplier purposes.

c. Retired pay may not exceed 75 percent of the basic pay upon which the computation of retired pay is based.

7. Payment of Retired Pay

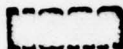
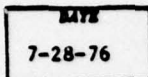
a. The pay accounts of retired NOAA officers are maintained and administered on a contract basis by the Commanding Officer, U.S. Navy Finance Center, Cleveland, Ohio 44199 in accordance with Navy rules and regulations governing retired pay. Therefore, retired NOAA officers shall comply with the instructions of the Commanding Officer, Navy Finance Center regarding their retired pay.

b. Any allotments an officer has in effect while on active duty are discontinued upon transfer to the retired list. In order to allot from retired pay, a signed letter request to the Navy Finance Center is required. The letter must specify the name and address of the allottee, the amount of the allotment, and the date of the first payment. Allotments are limited

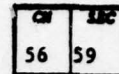
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TN 371

APPENDIX D



Directives Manual



56-59 COMMISSIONED OFFICERS - INVOLUNTARY NONDISABILITY DISCHARGE

1. General

a. An ensign or any other officer, during the first three years of service, who is determined by the Officer Personnel Board to be mentally, morally, or professionally not qualified for retention with the approval of the Director, NOAA Corps, shall have the commission revoked. (33 USC 853e(b), 33 USC 853t (a))

b. As recommended by the Officer Personnel Board, the Director, NOAA Corps, may discharge from service with severance pay any officer in the permanent grade of lieutenant or lieutenant (junior grade) who twice in succession fails of selection for promotion. An officer is considered to have failed of selection when (1) the officer is in an established promotion zone; (2) the officer is not selected for promotion; and (3) an officer junior to the officer in question is selected from within the promotion zone. (33 USC 853g; 33 USC 853r).

c. As recommended by the Officer Personnel Board, any officer in the permanent grade of lieutenant or lieutenant (junior grade) may be discharged pursuant to 33 USC 853g, with severance pay in the discretion of the Director, NOAA Corps, for the best interest of the Service. An officer's discharge is considered to be in the best interest of the Service for one or more of the following reasons:

(1) An officer's performance of duty is at a level below that expected of an officer of the office, rank or grade, and who is not well fitted for the duties and responsibilities of higher grades;

(2) An officer is not suited for continued service for one or more of the following similar causes:

(a) Conduct contrary to laws, regulations, or administrative directives applicable to commissioned officers.

(b) Intentional omission or misrepresentation of facts in official statements, either oral or written.

(c) Act of intemperance and/or personal misconduct to the discredit of the Service.

(3) A reduction in the strength of the Corps is necessary by reasons of program contraction or numbers limitation.



APPENDIX D

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56	59

Directives Manual

DATE
7-28-76

56-59 COMMISSIONED OFFICERS - INVOLUNTARY NONDISABILITY DISCHARGE (Cont'd)

d. In any fiscal year, the total number of officers involuntarily discharged in accordance with subparagraphs b and c above, and the number of officers involuntarily retired under subparagraphs 3b and 3c, NDM 56-47, plus the number of officers retired for age pursuant to subparagraph 3a, NDM 56-47, shall not exceed the whole number nearest 4 percent of the total authorized number of officers on the active list. (33 USC 853g)

2. Effective Date of Discharge

a. The effective date of separation for an officer whose commission is revoked shall be as determined by the Director, NOAA Corps.

b. Involuntary discharges under 1b and 1c above shall become effective on the first day of the sixth month following the date of approval by the Director, NOAA Corps, unless the officer concerned requests earlier separation, in which case the effective date shall be as determined by the Director. (33 USC 853g)

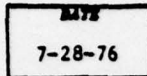
3. Process

a. When involuntary separation under the provisions of 1 a. or 1 c. above is indicated, except when a reduction in the strength of the Corps is necessary by reasons of program contraction or number limitation, the officer concerned shall be notified of the right to show cause as to why the separation should not be carried into effect, prior to a final decision on separation from service.

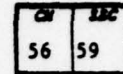
b. If the officer concerned does not elect to exercise the right to show cause as set forth in a. above within 30 days of receipt of the notification, or if the officer states in writing a desire not to elect to exercise the right as set forth in a. above, separation shall be effected as prescribed in 2. above.

c. If the officer concerned elects to exercise the rights under a. above, the Director, NOAA Corps, shall provide the officer with the opportunity to submit any evidence the officer may wish to present to the Officer Personnel Board, and, if the officer appears in person, to call and question any witness who has knowledge of the case. A complete record of such proceedings shall be made and forwarded to the Director, NOAA Corps, for review prior to final determination. In the event the record is not in the form of verbatim transcript, the officer involved shall be notified of the right to review the record as forwarded by the Board to the Director, NOAA Corps, and include an additional statement concerning any disagreement with the record as submitted.

APPENDIX D



Directives Manual



56-59 COMMISSIONED OFFICERS - INVOLUNTARY NONDISABILITY DISCHARGE (Cont'd)

d. When a hearing in accordance with a. above is requested by the officer concerned, the following rights shall accrue: The officer may be represented by a representative of the officer's choice; the officer may request any witness who has knowledge of the case, and reasonable efforts shall be made to obtain witnesses so requested; the officer may submit evidence by affidavit or otherwise to the Board; and the officer may question witnesses called by the Board.

e. An officer, who has been recommended for involuntary separation under the provisions of 1.b. above, may request within 30 days of receipt of the notification that the Director, NOAA Corps, appoint a Records Examination Board to determine whether or not information contained in the officer's personal file should be corrected or removed. Such a request must be in writing and specifically identify the records or parts thereof to be corrected or removed. At the discretion of the Director, NOAA Corps, a board of one or more officers senior in rank to the officer involved and who have not in any way participated in the recommendation to separate, may be appointed as a Records Examination Board to receive any evidence the officer may wish to submit and make appropriate recommendations to the Director, NOAA Corps, concerning corrections, deletions or additions to the officer's personal file.

f. A request by an officer for a Records Examination Board (under e. above if granted) shall entitle the officer to present evidence either in person or by affidavit to the Board. A summary of the record of such proceedings along with the Board's recommendation shall be shown to the officer involved prior to submission to the Director, NOAA Corps. If the officer involved disagrees with the summary of the record or the recommendation of the Board, may submit in writing the reasons therefore to the Director, NOAA Corps.

4. Severance Pay

Any officer separated, pursuant to subparagraphs 1b or 1c above, shall be paid a lump-sum payment computed on the basis of two months' basic pay at the time of separation for each year of service, but not to exceed a total of two years' basic pay. A fractional year of six months or more shall be considered a full year in computing the number of years of service upon which to base the lump-sum payment. (33 USC 853h)

5. Other

Those provisions of NDM 56-48 (paragraphs 3 and 4), regarding separation medical examinations and additional separation procedures are applicable to officers being separated in accordance with this directive.

- 3 -

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TM No. 367

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